



University of Pittsburgh Office of Child Development

Evaluating a Predictive Risk Modeling Tool in Child Welfare Proposal Submitted January 4, 2016

Executive Summary

In response to a request for proposals issued by the Allegheny County Department of Human Services, the University of Pittsburgh Office of Child Development submits proposals for both the process and impact evaluations of the use of a predictive risk modeling (PRM) tool in the child welfare system. The PRM tool is designed to improve the screening decision-making processes of child welfare call screeners, and thereby improve the accuracy of response to reports of suspected child maltreatment. These steps will ideally result in better outcomes for children. The Office of Child Development will conduct these evaluations to determine how the predictive risk modeling tool changes decision-making processes in child welfare.

The Office of Child Development has 30 years' experience leading program evaluations and applied research projects pertaining to the welfare, health, and development of children, youth, and families. As a university-community intermediary organization, we are experts at collaboration with other stakeholders and the translation of research evidence to practice. Our team has submitted proposals for both PRM evaluations, however we also welcome the opportunity to lead one of the evaluations and collaborate with another contractor who leads the other.

The proposed process evaluation will focus on three areas: 1). Ways in which the PRM tool modified the experience of call screeners and other stakeholders; 2). Implications of the tool's use for child welfare practice and policy; and 3). Perceptions and reactions to the tool's use by child welfare leadership, key stakeholders, and community partners. Our methods for this evaluation include staff observation, user testing of the PRM tool, record reviews, stakeholder interviews, and focus groups.

The proposed impact evaluation will explore how the PRM tool influenced screening decisions in various ways, including: increase or decrease rate of calls recommended for further investigation, increase or decrease in racial/ethnic or other disparities in screening recommendations, increase or decrease the number of "bad screen-outs", and increase or decrease unnecessary screen-ins and investigations. The evaluation will use a pre/post design that compares screening decisions and outcomes made prior to the implementation of the PRM tool with those made after the PRM tool is in use.

The proposed evaluations will take approximately 12 months and the total requested budget is \$200,001 for both. The process evaluation total is \$107,072 and the impact evaluation total is \$92,929.

Evaluating a Predictive Risk Modeling Tool in Child Welfare

Narrative

In response to a request for proposals issued by the Allegheny County Department of Human Services (DHS), the University of Pittsburgh Office of Child Development (OCD) submits proposals for process and impact evaluations of the use of a predictive risk modeling (PRM) tool in the child welfare system. This tool is designed to improve the screening and decision-making processes, and therefore, child outcomes in cases of suspected child maltreatment that are reported to the child welfare system. The PRM tool uses DHS Data Warehouse information to create a composite score of a child's latent risk of adverse outcomes and this risk score is one factor that will be used by call screeners who must determine the appropriate response to the allegation.

OCD will conduct these evaluations to determine how the predictive risk modeling tool changes decision-making processes and outcomes in child welfare. Ideally, the proposed evaluations would be conducted by the same team to ensure seamless design, implementation, and interpretation of data throughout the duration of the evaluations. The process evaluation is meant to provide context and clarity for the findings of the impact evaluation. OCD has submitted proposals for both evaluations, however we would also welcome the opportunity to lead one evaluation and coordinate with another contractor leading the other, should DHS so choose. If OCD is hired, our team will also work collaboratively with the PRM tool developers on implementation, design, evaluation, and publications.

Organizational Experience

The University of Pittsburgh Office of Child Development (OCD) was established in 1986 as a university-community, public-private, informational resource and management facility that contributes to the welfare of children, youth, families, and communities. It has evolved into an interdisciplinary research, training, and technical assistance center with a strong reputation for playing a wide variety of roles, including planning and implementing applied research and evaluation projects, providing management services, and directing large collaborative projects composed of multiple agencies.

OCD has a 29-year track record of bringing knowledge of research and best practices to services and programs for low-resource children and families in the region. The Evaluation and Research Team at OCD manages 10-20 projects at any given time, which range from collaborating with local nonprofits to improve their practices and assess their impacts, to large-scale federally-funded research projects utilizing randomized or quasi-experimental designs and large samples. The Evaluation and Research Team has two decades of experience evaluating programs created and conducted by community professionals in real-world settings, often with limited opportunities for comparison groups and practical circumstances that restrict measurements and other relevant factors. We are accustomed to working with providers to produce the best evaluation information under the circumstances in which the program must operate. All of our work seeks to improve the lives of vulnerable children and families.

OCD staff also excel at implementation. Our staff currently provides mental health and behavioral health services in early child education and homeless housing settings; provides training and technical assistance to County Family Support Centers and leads the Allegheny County Family Support Policy Board, made up of over 50% parents; aids workforce development by delivering technical assistance and training in home visiting and early care and education programs, and provides training in various birth to 8 years developmental screening instruments. It has emphasized collaborations with numerous funders and agencies, it has conducted many evaluations of its own programs and those

operated by others to provide evidence of effectiveness, it has created new services and programs based upon research, and it has communicated such information to practitioners, funders, and policymakers.

Staff Experience

The Director of OCD's Evaluation and Research Team, Joan Eichner, will lead the process and impact evaluations and be the principle liaison among key partners including the primary research team that developed the PRM tool, DHS, child welfare staff, and other stakeholders. Ms. Eichner oversees a portfolio of 10-15 projects in addition to leading projects directly. Most recently, she has directed demonstration programs that piloted improvements in care for young children and their families in the homeless housing system, led a five-year US Department of Health and Human Services funded evaluation of a video-based teen pregnancy prevention intervention in three states, and conducted qualitative research with families and staff within the homeless housing system. Ms. Eichner is also completing her doctoral work at the University of Pittsburgh's Graduate School of Public Health.

Assisting Ms. Eichner will be Janell Smith-Jones, PhD. Dr. Smith-Jones is an Evaluation and Research Manager with extensive experience conducting research and program evaluations in the areas of children's mental health, mentoring, college and career planning in middle and high school settings, and child development. Dr. Smith-Jones received her doctorate in developmental psychology from the University of Pittsburgh. She has been involved in community-based research for the past 20 years, including co-investigator and quality assurance manager for a county-wide program providing coordinated, community-based mental health supports for young children and their families; evaluator for a pilot project providing mental health consultation to childcare programs across Pennsylvania; and co-developer and evaluator of training and communication materials designed to support the delivery of quality developmental and behavioral screening and referral services.

Dr. Robert McCall, Co-Director of OCD, will provide statistical consultation to the evaluations. Dr. McCall is a specialist in applied research and program evaluation design and has published over 250 peer reviewed journal articles. His research includes evaluating community-based services for comprehensive child development programs, behavioral research considerations for policy and practice, and evidence-based programming in policy and practice contexts. Dr. McCall has also conducted research involving physical and behavioral development of the world's most vulnerable populations, including orphanage-reared children in Russia, China, and Central America. Dr. McCall will provide consultation on the evaluation design and statistical analysis for the impact evaluation.

OCD's Evaluation and Research Team has implemented dozens of applied research projects and program evaluations on various issues facing our children and families, locally, across the state, and globally.

Process Evaluation

The Process Evaluation has **three focus areas**:

- A. Ways in which the PRM tool modified the experience of call screeners and other users,
- B. Implications of the tool's use for child welfare practice and policy, and
- C. Perceptions and reactions by child welfare leadership, key stakeholders, and community partners.

Evaluators will assess changes in these areas by answering the following process **Evaluation Questions** using the methods listed:

1. How do call screeners interpret and use different displays of the risk score data in their decision making? (focus A)
 - a. Methods: observations, user testing (e.g. Think Aloud method), follow-up semi-structured interviews
2. What is the sense of confidence in the information among different levels of the call screening team and child welfare leadership? (foci A & C)
 - a. Methods: focus groups with child welfare staff in various roles
3. How did the PRM tool change the call screening team's process and length of time for decision making? (foci A & B)
 - a. Methods: observations, record reviews, semi-structured interviews
4. How do child welfare leadership and partners (e.g. judges, referring agencies, and others) view the PRM Tool? (foci B & C)
 - a. Methods: key stakeholder interviews

Methods

We propose a mixed methods evaluation of the PRM tool's implementation. A mixed methods approach is critical to assess the three foci areas identified above. Qualitative data can expand upon and clarify quantitative findings, thereby providing some explanation of *why* we find the impacts we do. The evaluation will consist of record reviews, observations, user testing, semi-structured interviews, and staff focus groups. Multiple data collection strategies and sources will allow evaluators to triangulate, or compare, information gathered from various perspectives, resulting in a more complete picture of the impacts of the PRM tool. Below are more detailed descriptions of how each methods will be used.

Record Review

DHS's records of child maltreatment referrals will be reviewed to collect and analyze information including call times, duration, staff involved, decision making process and time, and other relevant data, as available. These data from calls made prior to the implementation of the PRM tool will be compared with data after the PRM tool is implemented, for a duration of at least six months. This time period will allow call screeners to become familiar with using the PRM tool yet give evaluators enough time to collect and assess findings before the end of the grant period.

Evaluation Question addressed:

How did the PRM tool change the call screening team's process and length of time for decision making?

Observations and User Testing

The evaluation team proposes to conduct observations of call screeners using the PRM tool during calls. These observations and interactions with screeners will be totally confidential between screener and observer; aggregate non-identifiable information will be included in evaluation reports, but no identifiable information will be communicated to anyone else, including supervisors and DHS administrators. Observations will be staggered to allow for inclusion of various staff and times of the

shift, days of the week, etc. Immediately after a call, call screeners will be asked to talk through with the observer their thought process using the tool, responding to callers, and making decisions. This process will be similar to “thinking aloud” methods that have been used for decades to understand cognitive processes and decision making, and to understand general behavior patterns in human interaction with applications¹. Six call screeners will be observed on 5-6 calls each at previously scheduled times. If observations cannot be done in person with the call screeners, calls will be recorded and later reviewed with a member of the evaluation team, at which time call screeners will be asked to retrospectively reflect on the call, the PRM tool, and their decision making. Qualitative data will be analyzed for themes across call screeners.

Evaluation Questions addressed:

How do screeners interpret and use different displays of the risk score data in their decision making?

How did the PRM tool change the call screening team’s process and length of time for decision making?

Semi-Structured Staff Interviews

Fourteen to sixteen interviews will be conducted with members of the call screening team (6-8 call screeners, 4-5 supervisors, and 3-4 managers). Interviewers will use a set of key questions including but not limited to topics like use of risk score data, which presentation of risk score was most useful and why, call screening team’s process, and time spent on calls. Key questions will help to define the parameters of the interview, but flexibility within topics will be maintained to allow for interviewees to explain rationales, expand on responses, and give more detail when necessary. Interview data will be coded and analyzed for themes pertaining to strengths, challenges, and changes to the call screening process with use of the PRM tool.

Evaluation Questions addressed:

How do screeners interpret and use different displays of the risk score data in their decision making?

How did the PRM tool change the call screening team’s process and length of time for decision making?

Key Stakeholder Interviews

Interviews with key stakeholders will address topics including but not limited to implications of the PRM tool: on the child welfare referral system, Allegheny County families, and policy; the potential benefits and challenges of the PRM tool; and community perceptions of using a PRM tool for decision making. These interviews will be largely unstructured and aim to capture perceptions, feedback, and potential for the PRM tool as it applies to different stakeholders, such as social service agencies, professionals in the judicial and law enforcement systems, school personnel, medical professionals, and child welfare leadership. DHS’s child welfare leaders will assist evaluators in identifying 10-12 key stakeholders to interview. Interview data collected will be analyzed for common themes and suggestions for the PRM tool.

Evaluation Questions addressed:

How do CFY leadership and CFY partners view the PRM tool?

Focus Groups

¹ Krahmer, E. & Ummelen, N. (2004). Thinking about Thinking Aloud: A comparison of two verbal protocols for usability testing. *IEEE Transactions on Professional Communication*, 47 (2).

Two focus groups will be held with 8-10 call screening staff in each group. A facilitator will ask participants to share their thoughts on using the PRM tool and their confidence in it. Information collected will be summarized and included in a final evaluation report.

Evaluation Question addressed:

What is the sense of confidence in the information among different levels of the call screening team and CYF leadership?

The process evaluation will result in a written evaluation report synthesizing and summarizing all data collected. It will be appropriate for a range of community stakeholders including DHS, child welfare professionals, and community members. The evaluation team will work closely with the primary research team and DHS to plan dissemination of the findings.

Impact Evaluation

Goal:

To determine if and how the predictive risk modeling tool leads to better decisions in child welfare.

Impact Evaluation Questions:

1. Did the PRM tool change screening decisions in the following ways?
 - a. Increase or decrease rate of calls “screened in” or referred for follow up by the call screener for further investigation, overall, and by individual screener?
 - b. Increase or decrease disparities in screening outcomes, by indicators such as race/ethnicity, economic status, neighborhood?
 - c. Increase or decrease the number of “bad screen-outs” (i.e. when families are re-referred within 730 days of being screened out or have a critical event within 100 days of call)? [false negatives²]?
 - d. Increase or decrease unnecessary screen-ins and investigations? [false positives³]?

Methods:

The impact evaluation will use a pre/post design that will compare screening decisions made prior to the use of the PRM tool, with those made after the PRM tool is implemented, at the individual call screener level and overall. Our evaluation will result in an understanding of overall changes in screening, such as if the PRM tool leads to a larger number of children who are the subjects of calls being referred for follow-up action overall, if the proportion of children with certain characteristics who are referred for follow up action changes when the tool is used, and if the accuracy of screening decisions improves when the tool is implemented (that is a reduction in false positives and false negatives).

A within-subjects comparison will control for individual variations in decision making among screeners. This type of analysis is possible due to the large amount of call history data available and a low turnover rate of screening staff.

² A false negative is when a child is not referred for further action but is the subject of a subsequent call to child welfare within 730 days OR a critical event within 100 of the first call.

³ A false positive is when a child is referred for further action but the alleged abuse or neglect is deemed unsubstantiated.

Additionally, we will look for statistically significant differences, overall, between pre/post PRM tool use on the following key outcomes: the number of children “screened in” unnecessarily (false positives); those “screened out” erroneously (false negatives); and disproportionalities in screening outcomes, by race/ethnicity and other key indicators.

Our sample will include all child welfare staff who make screening decisions, including call screeners, supervisors, and others.

Data analysis plan:

The following is a general plan of analysis based on what we know of the PRM tool from the RFP. Additional details will be needed to finalize the analysis plan, and our team would do this in collaboration with the primary researchers who developed the PRM tool.

To assess how accurate call screeners are in detecting true abuse/neglect, we will work with the primary researchers and DHS to will identify the best methods to examine “base rate”. Base rate is how frequently the call screeners predict abuse and how frequently did abuse actually occur, or what can be thought of true positives. Simply saying screeners were correct X% of the time they said abuse occurred is not very informative, because it depends on the base rate of predicting abuse. That is, if screeners said everyone was abused, then they would detect 100% of the actual abused cases (but there would be many false positives as well). Similarly, if most cases actually were abused, the hit rate is likely to be high. We will identify a statistic that takes into consideration the base rates of the prediction and the outcome. For example, kappa is an index that conveys the relative efficiency of prediction relative to chance. The calculations produce the observed percent accuracy, the chance level of accuracy given the base rates, and kappa which is a chance-adjusted index of accuracy (i.e., how accurate are they relative to chance).

The evaluation team will also need to examine the likelihood of accuracy for predicting abuse/neglect based on various scores produced by the assessment tool, or the reverse question of what score on the tool is associated with what percent accuracy. For example, a score of 12 on the tool might be 50% accurate. Logic/probit analysis will be used to analyze this information.

Finally, we will need to address the question of what is the most optimally accurate score. This is one that provides the highest true positives with the least false positives and false negatives. Ultimately, this is the optimum cutoff score. We will consult with the tool development team and other experts to identify the most appropriate statistical procedure for determining this optimum. We will identify how best to address issues such as: when the PRM tool provides the cutoff risk score where screeners will be the most accurate. By examining the data we can determine if this optimum or above is a good prediction. It may not be a good prediction if false positives increase as the score gets higher than the optimum.

It is also advantageous to relate characteristics of the screening process to the screeners’ decisions and the accuracy of those decisions. For example, does the length of the screening call, the extent and nature of screeners’ Tool usage, and screeners’ satisfaction and comfort with the Tool relate to their decisions and their accuracy? What informational factors obtained during the screening call (e.g., extent of previous DHS contact, age of child and other demographic factors) relate to the decisions and their accuracy

The impact evaluation will result in a written evaluation report synthesizing and summarizing all data collected, and appropriate for a range of community stakeholders including DHS, child welfare professionals, and community members. The evaluation team will work closely with the primary research team and DHS to plan dissemination of the findings, including in academic publications as appropriate.

Limitations:

There are certain limitations of the outcomes as defined. For example, setting time parameters around the data analysis of “bad screen outs” outcomes may exclude some individuals who are re-referred after the time period included for the analysis.

Thank you for your consideration.

Submitted by:

Joan C. Eichner, MPA, MPH

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UNIVERSITY OF PITTSBURGH



FINANCIAL REPORT FISCAL YEAR 2015



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Independent Auditors' Report

The Board of Trustees of the
University of Pittsburgh – Of the Commonwealth
System of Higher Education:

We have audited the accompanying consolidated financial statements of the University of Pittsburgh – Of the Commonwealth System of Higher Education (the University), which comprise the consolidated balance sheets as of June 30, 2015 and 2014, and the related consolidated statements of activities and cash flows for the years then ended, and the related notes to the consolidated financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these consolidated financial statements in accordance with U.S. generally accepted accounting principles; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of consolidated financial statements that are free from material misstatement, whether due to fraud or error.

Auditors' Responsibility

Our responsibility is to express an opinion on these consolidated financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the consolidated financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the consolidated financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the consolidated financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the consolidated financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the financial position of the University of Pittsburgh – Of the Commonwealth System of Higher Education as of June 30, 2015 and 2014, and the changes in their net assets and their cash flows for the years then ended in accordance with U.S. generally accepted accounting principles.

KPMG LLP

Pittsburgh, Pennsylvania
September 24, 2015

CONSOLIDATED FINANCIAL STATEMENTS

UNIVERSITY OF PITTSBURGH
CONSOLIDATED BALANCE SHEETS
JUNE 30, 2015 AND 2014
(in thousands of dollars)

	2015	2014
ASSETS:		
Cash and cash equivalents (Notes 1 and 5)	\$ [REDACTED]	\$ [REDACTED]
Operating investments (Notes 4 and 5)	[REDACTED]	[REDACTED]
Inventories and deferred charges	[REDACTED]	[REDACTED]
Accounts and notes receivable, net (Note 2)	[REDACTED]	[REDACTED]
Contributions receivable, net (Note 3)	[REDACTED]	[REDACTED]
Student loans receivable, net	[REDACTED]	[REDACTED]
Deposits of bond proceeds (Notes 1 and 5)	[REDACTED]	-
Foundation assets (Note 1)	[REDACTED]	[REDACTED]
Endowment investments (Notes 4 and 5)	[REDACTED]	[REDACTED]
Endowed funds held by third parties (Note 5)	[REDACTED]	[REDACTED]
Property, plant, and equipment, net (Note 6)	[REDACTED]	[REDACTED]
TOTAL ASSETS	\$ [REDACTED]	\$ [REDACTED]
LIABILITIES:		
Accounts payable and accrued expenses	\$ [REDACTED]	\$ [REDACTED]
Accrued payroll and related liabilities	[REDACTED]	[REDACTED]
Deferred student and other revenue	[REDACTED]	[REDACTED]
Advanced receipt of grant funds	[REDACTED]	[REDACTED]
Refundable U.S. government student loans	[REDACTED]	[REDACTED]
Other liabilities (Notes 5 and 9)	[REDACTED]	[REDACTED]
Pension and postretirement obligations (Note 10)	[REDACTED]	[REDACTED]
Conditional asset remediation obligation (Note 7)	[REDACTED]	[REDACTED]
Bonds and notes payable (Note 8)	[REDACTED]	[REDACTED]
TOTAL LIABILITIES	[REDACTED]	[REDACTED]
NET ASSETS:		
Unrestricted (Notes 1 and 11)	[REDACTED]	[REDACTED]
Temporarily restricted (Notes 1 and 11)	[REDACTED]	[REDACTED]
Permanently restricted (Notes 1 and 11)	[REDACTED]	[REDACTED]
TOTAL NET ASSETS	[REDACTED]	[REDACTED]
TOTAL LIABILITIES AND NET ASSETS	\$ [REDACTED]	\$ [REDACTED]

The accompanying notes are an integral part of these consolidated financial statements.

CONSOLIDATED FINANCIAL STATEMENTS

UNIVERSITY OF PITTSBURGH
CONSOLIDATED STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2015
COMPARED TO SUMMARY INFORMATION FOR THE YEAR ENDED JUNE 30, 2014
(in thousands of dollars)

	2015				
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total	2014
OPERATING REVENUES:					
Tuition and fees	\$	\$ -	\$ -	\$	\$
Tuition discounts		-	-		
Net tuition and fees		-	-		
Commonwealth appropriation		-	-		147,797
Commonwealth construction grants		-	-		
Grants and contracts		-	-		
Contributions for operations			-		
Investment income – operating investments		-	-		
Endowment distributions for operations		-	-		
Sales and services, educational and other		-	-		
Sales and services, auxiliary		-	-		
Rental revenue		-	-		
Other		-	-		
Net assets released from restrictions			-	-	-
Total operating revenues			-		
OPERATING EXPENSES:					
Salaries and wages		-	-		
Fringe benefits		-	-		
Total compensation		-	-		
Supplies		-	-		
Business and professional		-	-		
Utilities		-	-		
Maintenance and facilities		-	-		
Depreciation		-	-		
Interest		-	-		
Other		-	-		
Total operating expenses (Note 12)		-	-		
Change in net assets from operating activities			-		
OTHER ACTIVITIES:					
Investment (losses) gains, net of endowment distributions for operations					
Contributions for endowment	-	-			
Change in fair value of interest rate swaps		-	-		
Nonperiodic changes in benefit plans (Note 10)		-	-		
Total other activities					
CHANGE IN NET ASSETS					
NET ASSETS, BEGINNING OF YEAR					
NET ASSETS, END OF YEAR	\$	\$	\$	\$	\$

The accompanying notes are an integral part of these consolidated financial statements.

UNIVERSITY OF PITTSBURGH
CONSOLIDATED STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED JUNE 30, 2014
(in thousands of dollars)

	2014			
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
OPERATING REVENUES:				
Tuition and fees	\$ [REDACTED]	\$ -	\$ -	\$ [REDACTED]
Tuition discounts	[REDACTED]	-	-	[REDACTED]
Net tuition and fees	[REDACTED]	-	-	[REDACTED]
Commonwealth appropriation	[REDACTED]	-	-	[REDACTED]
Commonwealth construction grants	[REDACTED]	-	-	[REDACTED]
Grants and contracts	[REDACTED]	-	-	[REDACTED]
Contributions for operations	[REDACTED]	[REDACTED]	-	[REDACTED]
Investment income – operating investments	[REDACTED]	-	-	[REDACTED]
Endowment distributions for operations	[REDACTED]	-	-	[REDACTED]
Sales and services, educational and other	[REDACTED]	-	-	[REDACTED]
Sales and services, auxiliary	[REDACTED]	-	-	[REDACTED]
Rental revenue	[REDACTED]	-	-	[REDACTED]
Other	[REDACTED]	-	-	[REDACTED]
Net assets released from restrictions	[REDACTED]	[REDACTED]	-	[REDACTED]
Total operating revenues	[REDACTED]	[REDACTED]	-	[REDACTED]
OPERATING EXPENSES:				
Salaries and wages	[REDACTED]	-	-	[REDACTED]
Fringe benefits	[REDACTED]	-	-	[REDACTED]
Total compensation	[REDACTED]	-	-	[REDACTED]
Supplies	[REDACTED]	-	-	[REDACTED]
Business and professional	[REDACTED]	-	-	[REDACTED]
Utilities	[REDACTED]	-	-	[REDACTED]
Maintenance and facilities	[REDACTED]	-	-	[REDACTED]
Depreciation	[REDACTED]	-	-	[REDACTED]
Interest	[REDACTED]	-	-	[REDACTED]
Other	[REDACTED]	-	-	[REDACTED]
Total operating expenses (Note 12)	[REDACTED]	-	-	[REDACTED]
Change in net assets from operating activities	[REDACTED]	[REDACTED]	-	[REDACTED]
OTHER ACTIVITIES:				
Investment gains, net of endowment distributions for operations	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Contributions for endowment	[REDACTED]	-	[REDACTED]	[REDACTED]
Change in fair value of interest rate swaps	[REDACTED]	-	-	[REDACTED]
Nonperiodic changes in benefit plans (Note 10)	[REDACTED]	-	-	[REDACTED]
Total other activities	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
CHANGE IN NET ASSETS	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
NET ASSETS, BEGINNING OF YEAR	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
NET ASSETS, END OF YEAR	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]

CONSOLIDATED FINANCIAL STATEMENTS

UNIVERSITY OF PITTSBURGH
CONSOLIDATED STATEMENTS OF CASH FLOWS
FOR THE YEARS ENDED JUNE 30, 2015 AND 2014
(in thousands of dollars)

	2015	2014
CASH AND EQUIVALENTS:		
End of year	\$ [REDACTED]	\$ [REDACTED]
Beginning of year	\$ [REDACTED]	\$ [REDACTED]
CHANGE IN CASH AND CASH EQUIVALENTS		
CASH FLOWS FROM OPERATING ACTIVITIES:		
Change in net assets	\$ [REDACTED]	\$ [REDACTED]
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Depreciation	[REDACTED]	[REDACTED]
Net bond premium amortization	[REDACTED]	[REDACTED]
Loss on disposal of plant assets	[REDACTED]	[REDACTED]
Investment gains	[REDACTED]	[REDACTED]
Change in fair value of interest rate swaps	[REDACTED]	[REDACTED]
Contributions restricted for long-term investment	[REDACTED]	[REDACTED]
Changes in operating assets and liabilities:		
Accounts, notes, contributions, and loans receivable, net	[REDACTED]	[REDACTED]
Other assets	[REDACTED]	[REDACTED]
Accounts payable and accrued expenses	[REDACTED]	[REDACTED]
Pension and postretirement obligations	[REDACTED]	[REDACTED]
Conditional asset remediation obligation	[REDACTED]	[REDACTED]
Other liabilities	[REDACTED]	[REDACTED]
Government student loans and deferred revenue	[REDACTED]	[REDACTED]
Net cash provided by operating activities	[REDACTED]	[REDACTED]
CASH FLOWS FROM INVESTING ACTIVITIES:		
Expended for property, plant, and equipment - University	[REDACTED]	[REDACTED]
Expended for property, plant, and equipment - commonwealth	[REDACTED]	[REDACTED]
Change in accounts payable for property, plant, and equipment	[REDACTED]	[REDACTED]
Purchases/sales of operating investments, net	[REDACTED]	[REDACTED]
Purchases of endowment investments	[REDACTED]	[REDACTED]
Proceeds from sales/maturities of endowment investments	[REDACTED]	[REDACTED]
Change in endowed funds held by third parties, excluding gains	[REDACTED]	[REDACTED]
Change in foundation assets	[REDACTED]	[REDACTED]
Net cash used for investing activities	[REDACTED]	[REDACTED]
CASH FLOW FROM FINANCING ACTIVITIES:		
Principal repayment of debt	[REDACTED]	[REDACTED]
Proceeds from issuance of debt	[REDACTED]	[REDACTED]
Change in deposits of bond and note proceeds	[REDACTED]	[REDACTED]
Contributions restricted for long-term investment	[REDACTED]	[REDACTED]
Net cash provided by financing activities	[REDACTED]	[REDACTED]
CHANGE IN CASH AND CASH EQUIVALENTS	\$ [REDACTED]	\$ [REDACTED]
Supplemental disclosure of cash flow information:		
Cash paid for interest (excluding fees)	\$ [REDACTED]	\$ [REDACTED]
Noncash investing activity for property, plant, and equipment-accounts payable	\$ [REDACTED]	\$ [REDACTED]

The accompanying notes are an integral part of these consolidated financial statements.

NOTE 1: SUMMARY OF SIGNIFICANT ACCOUNTING AND REPORTING PRACTICES

Organization

Founded in 1787, the University of Pittsburgh is one of the oldest institutions of higher education in the United States. The University's mission is to provide high-quality undergraduate and graduate programs in the arts and sciences and professional fields; engage in research, artistic, and scholarly activities that advance learning through the extension of the frontiers of knowledge and creative endeavor; cooperate with industrial and governmental institutions to transfer knowledge in science, technology, and health care; offer continuing educational programs adapted to the personal enrichment, professional upgrading, and career advancement interests and needs of adult Pennsylvanians; and make available to local communities and public agencies the expertise of the University in ways that are consistent with the primary teaching and research functions and contribute to social, intellectual, and economic development in the commonwealth, the nation, and the world.

The University's main campus in the City of Pittsburgh comprises 16 schools and several academic centers educating nearly 29,000 students in various undergraduate, graduate, and doctorate-professional programs. Four regional campuses with a total enrollment approximating 6,300 students are located throughout western Pennsylvania.

Relationship with the Commonwealth of Pennsylvania

The University derives its corporate existence under the laws of the Commonwealth of Pennsylvania (the commonwealth) by reason of the act of the General Assembly of the commonwealth establishing an "Academy or Public School in the town of Pittsburgh" on February 28, 1787 and from the act of February 18, 1819 incorporating the "Western University of Pennsylvania." In 1908, the University's name was changed to the "University of Pittsburgh" by order of the Court of Common Pleas of Allegheny County. In 1966, the Pennsylvania State Legislature enacted the "University of Pittsburgh-Commonwealth Act," which changed the name of the University to the "University of Pittsburgh – of the Commonwealth System of Higher Education" and established the University as an instrumentality of the commonwealth to serve as a state-related institution in the Commonwealth System of Higher Education. The University is a Pennsylvania nonprofit corporation subject to the Nonprofit Corporation Law of 1988.

The entire management, control, and conduct of the instructional, administrative, and financial affairs of the University are vested in the Board of Trustees. The

Board of Trustees is comprised of fifty-two members (thirty-six voting members), including twelve commonwealth trustees and sixteen special trustees elected by the board. Special trustees may attend all meetings of the board and are entitled to and exercise all rights, responsibilities, and privileges of trusteeship, except the right to vote at board meetings.

As a state-related institution, the University receives an annual operating and capital appropriation from the commonwealth. The appropriation results from the commonwealth's annual budget process. There is no assurance that such appropriation will continue to be made, or will be made, at current levels or at levels requested by the University. The appropriation from the commonwealth was \$147.4 million in 2015 and \$147.8 million in 2014. In addition to the annual appropriation, the commonwealth also funds certain capital projects in support of the University's mission. Amounts funded by the commonwealth for capital projects were \$37.5 million in 2015 and \$40.4 million in 2014.

Basis of Presentation

The consolidated financial statements include the accounts of the University, which do not include the net assets or activities of the University of Pittsburgh Medical Center (UPMC) or the University of Pittsburgh Physicians (UPP) clinical practice plans, as they are separate legal entities not controlled by the University. The University does have the right to designate one-third of the members of the UPMC Board of Directors and any Executive Committee thereof.

The other activities section of the Consolidated Statements of Activities includes investment gains (losses), net of endowment distributions for operations; contributions for endowment; changes in fair value of interest rate swaps; and nonperiodic changes in pension and postretirement benefit plans. Endowment distributions for operations represent endowment income distributions not reinvested in the endowment (see Note 11).

Basis of Accounting

The consolidated financial statements have been prepared on the accrual basis of accounting in conformity with accounting principles generally accepted in the United States of America (GAAP) as promulgated by the Financial Accounting Standards Board (FASB).

In accordance with GAAP, the University's net assets have been classified as unrestricted, temporarily

restricted, or permanently restricted based upon the existence or absence of donor-imposed restrictions. Unrestricted net assets are not subject to donor-imposed restrictions and are used for general operating purposes of the University. This class of net assets also includes certain contributions and endowment earnings whose donor-imposed restrictions have been met within the fiscal year. Temporarily restricted net assets are subject to certain time or purpose restrictions by the donor. Upon satisfaction of these restrictions, the net assets are transferred to unrestricted. Amounts released from restrictions in 2015 and 2014 relate primarily to cash collections on pledges where purpose restrictions had already been met. Temporarily restricted net assets at June 30, 2015 and 2014 consist of endowment balances (\$ [REDACTED] and [REDACTED] respectively); the net present value of temporarily restricted contributions and unconditional pledges ([REDACTED] and \$ [REDACTED] respectively); and split-interest agreements (\$ [REDACTED] and [REDACTED], respectively). Permanently restricted net assets are those subject to permanent donor-imposed restrictions and at June 30, 2015 and 2014 consist of endowment balances (\$ [REDACTED] and [REDACTED], respectively); the net present value of permanently restricted contributions and unconditional pledges ([REDACTED] and \$ [REDACTED] respectively); and private student loan funds (\$ [REDACTED] and \$ [REDACTED] respectively).

Donor-restricted endowed contributions require that the original corpus of the contributions be maintained in perpetuity. The distributions from earnings generated by these contributions may be either expended or reinvested in the endowment, in accordance with donor restrictions and endowment contribution and spending policies (see Note 11).

Estimates

The preparation of the consolidated financial statements requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, disclosure of contingent assets and liabilities at the date of the consolidated financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ materially from those estimates.

Revenue Recognition

Revenue for programs or activities to be conducted in future periods such as student tuition and room and board

are classified as deferred revenue. Revenue for these activities is recognized as services are provided. Advanced receipt of exchange transactions such as grants and contracts are also classified as deferred revenue, with revenue being recognized as funds are expended and sponsored programs are executed.

Tuition discounts are recorded to the extent that either institutional financial aid or aid funded by contributions, endowment distributions, and grant activities are awarded. Tuition discounts attributable to institutional funds in 2015 and 2014 were [REDACTED] and \$ [REDACTED] respectively. Tuition discounts attributable to contributions, endowment distributions, and grant activities were \$ [REDACTED] in both 2015 and 2014.

Cash and Cash Equivalents and Operating Investments

Cash equivalents consist of operating investments with original maturities of 90 days or less. Operating investments include Treasury instruments and other high quality, liquid securities that at the time of purchase are rated A3/P-1 or better by Moody's Investors Service or A-/A-1 or better by Standard & Poor's Ratings Services. Operating investments, together with cash, are utilized to fund the University's short-term operating needs and are invested with the expectation that such securities can be liquidated at their current value within a 7-day period. Cash and cash equivalents that are part of endowment investments are shown therewith, as such funds are utilized for endowment purposes rather than University operating needs.

Allowance for Doubtful Accounts

The University maintains allowances for doubtful accounts to reflect management's best estimate of probable losses inherent in receivable balances. Management determines the allowances for doubtful accounts based on known troubled accounts, historical experience, and other currently available evidence. Receivables are written off when management determines they will not be collected.

Contributions

The University records at fair value unconditional pledges (which are agreements with donors involving non-reciprocal transfers of cash or other assets) as either temporarily restricted or permanently restricted contributions dependent upon the nature of the donor-imposed restrictions. Contributions whose restrictions are

met in the same fiscal year as receipt are combined and reported with unrestricted contributions. Contributions receivable (classified as Level 3 in the fair value hierarchy) are discounted at a risk-adjusted rate commensurate with the donor's payment plan.

Conditional pledges of cash or other assets are recognized as contribution revenues and receivables when the conditions surrounding the pledge are substantially met.

Bequests are considered to be intentions to give and do not fall within the definition of an unconditional pledge, and hence, are not recognized in the consolidated financial statements.

Deposits of Bond Proceeds

Deposits of bond proceeds consist of unspent funds, which will be used for certain capital projects or for repayment of certain debt obligations. These funds are invested in cash, cash equivalents, U.S. Treasury instruments, and other high quality, liquid securities, and are reported on the Consolidated Balance Sheets at fair value.

Foundation Assets

The University's foundation assets represent the Bradford Educational Foundation (BEF). The BEF is a 509(a)(3) Type III supporting organization whose sole purpose is to receive, administer, and distribute property for the benefit of the University of Pittsburgh Bradford campus. The BEF is governed by an independent board of directors, with the majority of members being non-University members. Although the University does not exercise control of the BEF, all assets held by the BEF are held for the financial benefit of the University. As such, the consolidated financial statements include the net assets and annual change in net assets of the BEF.

Endowment Investments

The University's endowment investments are reported at fair value. The fair value of direct University holdings in publicly traded securities is based upon quoted market prices. The fair value of all other investments, which consist of indirect holdings in both privately and publicly traded assets, is determined using net asset value (NAV) per share or unit of interest. Used as a practical expedient for the estimated fair value, NAV per share or its equivalent is provided by the fund manager and reviewed by the University. Indirect holdings of private assets primarily consist of University interests in funds investing

in nonmarketable alternatives, real assets, and/or distressed securities, whereas indirect holdings of publicly traded assets primarily consist of University interests in marketable alternatives or other commingled funds.

Nonmarketable alternatives are private equity or equity-like holdings, such as mezzanine and subordinated debt interests, in venture, buyout, or recapitalized companies or properties. Real assets are physical assets, or financial assets associated with such physical assets, whose income streams and/or fair values tend to rise with inflation; they include real estate, natural resources, commodities, and other hard assets. Marketable alternatives consist of distressed debt and hedging strategies, including event-driven hedging strategies, such as merger or credit arbitrage, and value-driven hedging strategies, such as long/short, market neutral, and other hedging strategies.

Due to the nature of the investments held by the funds, changes in market conditions, economic environment, regulatory environment, currency exchange rates, interest rates, and commodity price fluctuations may significantly impact the NAV of the funds and, consequently, the fair value of the University's interest in the funds and could materially affect the amounts reported in the consolidated financial statements. Although a secondary market exists for these investments, it is not active, and individual transactions are typically not observable. When transactions do occur in this limited secondary market, they may occur at discounts to the reported NAV. It is therefore at least reasonably possible that if the University were to sell these investments in the secondary market, a buyer may require a discount to the reported NAV, and the discount could be significant. The University attempts to manage these risks through diversification, ongoing due diligence of fund managers, maintaining adequate liquidity, and continuously monitoring economic and market conditions.

Fair Value Measurements

As of June 30, 2015 and 2014, the carrying values of the University's inventories and deferred charges, accounts and notes receivable, contributions receivable, accounts payable, accrued expenses, and deferred student and other revenue approximate their fair values because of the terms and relatively short maturity. An estimate of the fair value of student loan receivables administered by the University under federal government loan programs is not practical because the receivables can only be assigned to the United States government or its designees.

Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The three levels of the fair value hierarchy are as follows:

- Level 1 – Unadjusted quoted prices in active markets for identical assets or liabilities that are available at the measurement date.
- Level 2 – Inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly or indirectly.
- Level 3 – Unobservable inputs for the asset or liability that are used to measure fair value when observable inputs are not available. These inputs are developed based upon the best information available in such circumstances.

In the event that changes in the inputs used in the fair value measurement of an asset or liability result in a transfer of the fair value measurement into a different level, such transfers are recognized at the end of the reporting period.

Derivative Financial Instruments

The University records derivatives at fair value on the Consolidated Balance Sheets with changes in fair value reflected in the Consolidated Statements of Activities (see Note 9).

Split-Interest Agreements

These agreements with donors consist primarily of charitable gift annuities, pooled income funds, and irrevocable charitable remainder trusts for which the University serves as trustee. Assets are invested and payments are made to donors and/or other beneficiaries in accordance with the respective agreements. Other liabilities include [REDACTED] and [REDACTED] at June 30, 2015 and 2014, respectively, for split-interest agreements.

Property, Plant, and Equipment

Property, plant, and equipment is recorded at cost, or if acquired by contribution, at fair value as of the date of the contribution. Depreciation is calculated using the straight-line method. Useful lives generally range from 15 to 40 years for buildings and improvements and 5 to 10 years for furnishings and equipment. As assets are retired, sold, or otherwise disposed, the cost and related accumulated depreciation are removed from the accounts, and gains or losses are recognized in the Consolidated Statements of

Activities. Costs associated with the construction of new facilities and renovation and expansion of existing facilities are capitalized within construction in progress until such projects are placed in service. The University capitalizes software and certain implementation costs and generally depreciates such assets over 5 to 10 years. Works of art, historical treasures, and similar assets include a variety of paintings, sculptures, photographs, antiques, and furnishings, as well as scholarly papers and archives. These assets are used for public exhibition, the preservation of artifacts and antiques for future generations, and scholarly research. Due to their nature, these assets are not depreciated. Library books, which include hard copy publications, periodicals, and electronic publications with rights to archival content, are depreciated over a period of 7 years. Maintenance and repairs are expensed as incurred.

Insurance Liabilities

The University is self-insured through an agreement with UPMC to provide medical coverage for its employees. A liability for estimated incurred but unreported claims of [REDACTED] and [REDACTED] has been recorded at June 30, 2015 and 2014, respectively, based upon management's analysis of claims history. This liability is reflected in accrued payroll and related liabilities on the Consolidated Balance Sheets.

The University is also self-insured for certain other activities, including workers' compensation, unemployment compensation, and litigation claims. Liabilities have been established for these programs generally based on third-party administrators' estimates using the University's historical loss experience. The self-insurance accrual is subject to periodic adjustment by the University based on actual loss experience factors. Liabilities for these other self-insured obligations aggregated [REDACTED] and [REDACTED] at June 30, 2015 and 2014, respectively, and are included in accrued payroll and related liabilities on the Consolidated Balance Sheets.

Grants and Contracts

The University conducts sponsored program activity with various sponsors, including agencies and departments of the federal government, the commonwealth, local government entities, companies, and foundations. Sponsored activity in 2015 and 2014 was \$713.9 million and [REDACTED] million, respectively, with approximately 59% of the funding awarded through the National Institutes of Health. Most University sponsored activity is conducted on a cost reimbursable basis with the University receiving funding after the related expenses have been incurred.

Certain sponsors, however, provide funding in advance of related expenses, and such funding is recorded as advanced receipt of grant funds on the Consolidated Balance Sheets. Revenue from sponsored awards is recognized as the related expenses are incurred. There is no assurance that sponsored awards will continue to be made at current levels.

The University incurs both direct and indirect costs in the conduct of its sponsored activity. Recovery of indirect costs through federal awards is based upon predetermined rates negotiated with the Department of Health and Human Services. Indirect cost recovery rates from nonfederal sources may vary. Funds received through federal sources are subject to audit each year in accordance with the Office of Management and Budget Circular A-133.

Government Loan Funds

U.S. government-sponsored student loan funds are recorded as liabilities because these funds are refundable to the federal government under certain conditions. Student loan funds donated by private groups, organizations, or individuals are recorded as permanently restricted net assets since such funds operate on a revolving fund basis with principal and interest payments remaining in the fund for future lending.

Tax-Exempt Status

The University is exempt from federal income tax under Section 501(c)(3) of the United States Internal Revenue

Code. Accordingly, it is not subject to income taxes except to the extent it has taxable income from activities that are not related to its exempt purpose. The University annually reviews its tax positions and has determined that there are no material uncertain tax positions that require recognition in the consolidated financial statements. No provision for income taxes was required for 2015 or 2014.

Recent Accounting Pronouncements

In May 2015, the Financial Accounting Standard Board (FASB) issued Accounting Standard Update (ASU) No. 2015-07, *Fair Value Measurement (Topic 820): Disclosures for Investments in Certain Entities That Calculate Net Asset Value per Share (or Its Equivalent) (a Consensus of the FASB Emerging Issues Task Force)*, which eliminates the requirement to classify investments in the fair value hierarchy if their fair value is measured at net asset value or its equivalent (NAV), using the practical expedient. The University adopted this ASU in 2015 and modified the fair value disclosures in Note 5 as of June 30, 2014 to conform.

In April 2015, the FASB issued ASU No. 2015-03, *Simplifying the Presentation of Debt Issuance Costs*, which requires debt issuance costs related to a recognized debt liability to be presented on the balance sheet as a direct deduction from the debt liability, similar to the presentation of debt discounts. The University adopted ASU No. 2015-03 in 2015 and modified the June 30, 2014 presentation to conform.

NOTE 2: ACCOUNTS AND NOTES RECEIVABLE, NET

Accounts and notes receivable, net at June 30 consists of the following:

Sponsored grant receivables, net
Hospitals and affiliated organizations receivables, net
Plant construction receivables due from commonwealth
Student receivables, net
Interest income receivables
Other receivables, net
Total accounts and notes receivable, net

	2015	2014
	(in thousands of dollars)	
	\$	\$
	\$	\$

NOTE 3: CONTRIBUTIONS RECEIVABLE, NET

Contributions receivable, net at June 30 consists of the following:

	2015	2014
	<i>(in thousands of dollars)</i>	
Amounts due in:		
Less than one year	\$ [REDACTED]	\$ [REDACTED]
One to five years	[REDACTED]	[REDACTED]
Greater than five years	[REDACTED]	[REDACTED]
Gross contributions receivable	[REDACTED]	[REDACTED]
Less:		
Allowance for uncollectible pledges	[REDACTED]	[REDACTED]
Unamortized discounts	[REDACTED]	[REDACTED]
Total contributions receivable, net	\$ [REDACTED]	\$ [REDACTED]

At June 30, 2015 and 2014, the five largest outstanding pledge balances represented 39% and 37%, respectively, of the University's net contributions receivable.

The University has been named a beneficiary in the wills of numerous donors or has received conditional pledges

totaling \$ [REDACTED] million and \$ [REDACTED] million at June 30, 2015 and 2014, respectively. These bequests and conditional pledges are not included in the consolidated financial statements.

NOTE 4: ENDOWMENT AND OPERATING INVESTMENTS

Investments at June 30 consist of the following:

	2015	2014
	<i>(in thousands of dollars)</i>	
Endowment investments:		
Pooled	\$ [REDACTED]	\$ [REDACTED]
Nonpooled		
Subtotal endowment investments	[REDACTED]	[REDACTED]
Operating investments (<i>Note 1</i>)		
Total endowment and operating investments	\$ [REDACTED]	\$ [REDACTED]
Composition of endowment investments:		
Cash and cash equivalents	\$ [REDACTED]	\$ [REDACTED]
Domestic equities	[REDACTED]	[REDACTED]
International equities		
U.S. government and government agencies' securities, bank acceptances and certificates, and commercial paper	[REDACTED]	[REDACTED]
Corporate bonds and other obligations		
Alternative investment funds and partnerships:		
Marketable alternatives	[REDACTED]	[REDACTED]
Nonmarketable alternatives		
Real assets		
Total endowment investments	\$ [REDACTED]	\$ [REDACTED]
Composition of operating investments:		
U.S. government and government agencies' securities, repurchase agreements, and commercial paper	\$ [REDACTED]	\$ [REDACTED]
Corporate bonds and other obligations		
Other		
Total operating investments	\$ [REDACTED]	\$ [REDACTED]

Unless precluded by size or donor restrictions, individual endowment fund assets are pooled and collectively managed on a unitized basis. Each endowment fund subscribes to or disposes of units in the pool using fair value per unit at the beginning of the month such subscription or disposition occurs to account for the transaction.

The philosophies and policies employed in the management of the endowment are long-term by definition, as they are based on the expectation that the endowment will continue to provide financial support to

the University in perpetuity. Accordingly, the University's investment policy is intended to optimize long-term total return — income plus capital appreciation — relative to the level of risk taken.

The University's investment policy contemplates the effects of its spending policy. The endowment spending policy balances the need for reliable and predictable earnings distributions to support current University activities with the desire to maintain the purchasing power of endowment assets so that they can continue providing financial support for future generations (see Note 11).

The following table summarizes the University's investments at June 30, 2015 and 2014 for which NAV was used as a practical expedient to estimate fair value:

Asset Class	Fair Value		Unfunded	Redemption	Redemption
	Determined Using NAV		Commitments	Frequency	Notice
	2015	2014	at June 30, 2015		Period
(in thousands of dollars)					
International equities	\$ [REDACTED]	\$ [REDACTED]	\$ -	Quarterly	60-120 days
Marketable alternatives:					
Redeemable within one year	[REDACTED]	[REDACTED]	-	90-365 days	30-180 days
Redeemable beyond one year	[REDACTED]	[REDACTED]	-	1-3 years	30-60 days
Nonredeemable	[REDACTED]	[REDACTED]	[REDACTED]	NA	NA
Total marketable alternatives	[REDACTED]	[REDACTED]	[REDACTED]		
Nonmarketable alternatives	[REDACTED]	[REDACTED]	[REDACTED]	NA	NA
Real assets:					
Redeemable	[REDACTED]	[REDACTED]	-	Monthly	10 days
Nonredeemable	[REDACTED]	[REDACTED]	[REDACTED]	NA	NA
Total real assets	[REDACTED]	[REDACTED]	[REDACTED]		
Total	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]		

Descriptions follow for each of the investments set forth in the table above:

International Equities

A portion of the University's investments in emerging markets equities are interests in one or more commingled funds that hold publicly traded emerging market equities.

Marketable Alternatives

The University's investments in marketable alternatives are interests in commingled funds that hold various combinations of long and short positions predominantly in publicly traded equities, fixed income, and financial derivatives. Funds that are nonredeemable typically have investment periods of three or more years during which committed capital may be called and invested. The University's interests in the nonredeemable funds are considered to be relatively illiquid in that they are not easily transferable and typically achieve liquidity over multi-year periods when and if the fund managers distribute proceeds realized from the underlying fund assets.

Nonmarketable Alternatives

The University's investments in nonmarketable alternatives are interests in commingled, private equity funds, including venture capital. These funds are invested

in equity and equity-like securities of mostly non-publicly traded companies over investment periods of typically three to five years during which committed capital may be called and invested. The University's interests in private equity funds are considered to be relatively illiquid in that they are not easily transferable and typically achieve liquidity over multi-year periods when and if the fund managers distribute proceeds realized from underlying fund assets.

Real Assets

The University's investments in real assets are interests in commingled funds that hold various combinations of publicly and non-publicly traded physical assets (such as real estate, natural resources, commodities, and utilities), the financial assets and derivatives associated with such physical assets, and the equity and equity-like securities of companies engaged in physical asset ownership, operations and/or services. Funds that are nonredeemable typically have investment periods of three or more years during which committed capital may be called and invested. The University's interests in the nonredeemable funds are considered to be relatively illiquid in that they are not easily transferable and typically achieve liquidity over multi-year periods when and if the fund managers distribute proceeds realized from the underlying fund assets.

NOTE 5: FAIR VALUE MEASUREMENTS

The following tables summarize the inputs used in valuing the University's assets and liabilities carried at fair value, excluding investments stated at NAV as a practical expedient, at June 30, 2015 and 2014:

2015				
	Level 1	Level 2	Level 3	Total
<i>(in thousands of dollars)</i>				
Assets				
Cash and cash equivalents	\$ [REDACTED]	\$ [REDACTED]	\$ -	\$ [REDACTED]
Endowment investments:				
Cash and cash equivalents	[REDACTED]	[REDACTED]	-	[REDACTED]
Domestic equities	[REDACTED]	[REDACTED]	-	[REDACTED]
International equities	[REDACTED]	-	[REDACTED]	[REDACTED]
U.S. government, corporate bonds, and other obligations	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Subtotal endowment investments ⁽¹⁾	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Operating investments:				
U.S. government, corporate bonds, and other obligations	[REDACTED]	[REDACTED]	-	[REDACTED]
Other	[REDACTED]	-	[REDACTED]	[REDACTED]
Deposits of bond proceeds	[REDACTED]	[REDACTED]	-	[REDACTED]
Endowed funds held by third parties	-	-	[REDACTED]	[REDACTED]
Total assets	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]
Liabilities				
Interest rate swaps	\$ -	\$ [REDACTED]	\$ -	\$ [REDACTED]
2014				
	Level 1	Level 2	Level 3	Total
<i>(in thousands of dollars)</i>				
Assets				
Cash and cash equivalents	\$ [REDACTED]	\$ [REDACTED]	\$ -	\$ [REDACTED]
Endowment investments:				
Cash and cash equivalents	[REDACTED]	[REDACTED]	-	[REDACTED]
Domestic equities	[REDACTED]	[REDACTED]	-	[REDACTED]
International equities	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
U.S. government, corporate bonds, and other obligations	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Subtotal endowment investments ⁽¹⁾	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Operating investments:				
U.S. government, corporate bonds, and other obligations	[REDACTED]	[REDACTED]	-	[REDACTED]
Other	[REDACTED]	-	[REDACTED]	[REDACTED]
Endowed funds held by third parties	-	-	[REDACTED]	[REDACTED]
Total assets	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]
Liabilities				
Interest rate swaps	\$ -	\$ [REDACTED]	\$ -	\$ [REDACTED]

⁽¹⁾ The subtotal of endowment investments within the fair value tables above exclude investments of \$ [REDACTED] and \$ [REDACTED] as of June 30, 2015 and 2014, respectively, which are measured at NAV and are not classified in the fair value hierarchy (see Note 4).

The following table summarizes the change in the Level 3 activity for the years ended June 30, 2015 and 2014:

	International Equities	U.S. Government Corporate and Other	Other and Endowed Funds Held by Third Parties	Total
	<i>(in thousands of dollars)</i>			
Balance - June 30, 2013	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]
Capital calls/purchases	[REDACTED]	-	[REDACTED]	[REDACTED]
Distributions/sales	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Realized gains	[REDACTED]	-	-	[REDACTED]
Unrealized gains	[REDACTED]	-	[REDACTED]	[REDACTED]
Balance - June 30, 2014	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Capital calls/purchases	[REDACTED]	-	[REDACTED]	[REDACTED]
Distributions/sales	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Realized gains	[REDACTED]	-	-	[REDACTED]
Unrealized gains	[REDACTED]	-	[REDACTED]	[REDACTED]
Balance - June 30, 2015	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]

Realized and unrealized gains for Level 3 activity are reported in other activities in the Consolidated Statements of Activities. The unrealized gains related to investments held at June 30, 2015 and 2014 were \$ [REDACTED] and \$ [REDACTED], respectively.

There were no transfers of investments between levels in 2015 or 2014.

NOTE 6: PROPERTY, PLANT, AND EQUIPMENT, NET

Property, plant, and equipment, net at June 30 is summarized below:

	2015	2014
	<i>(in thousands of dollars)</i>	
Land	\$ [REDACTED]	\$ [REDACTED]
Buildings and improvements	[REDACTED]	[REDACTED]
Equipment	[REDACTED]	[REDACTED]
Library books	[REDACTED]	[REDACTED]
Works of art, historical treasures, and similar assets	[REDACTED]	[REDACTED]
Construction in progress	[REDACTED]	[REDACTED]
Subtotal	[REDACTED]	[REDACTED]
Less: Accumulated depreciation	[REDACTED]	[REDACTED]
Total property, plant, and equipment, net	\$ [REDACTED]	\$ [REDACTED]

The amount capitalized in property, plant, and equipment related to expenditures funded by the commonwealth on behalf of the University totaled \$ [REDACTED] and

\$ [REDACTED] at June 30, 2015 and 2014, respectively. The net book value of these items was [REDACTED] and \$ [REDACTED] at June 30, 2015 and 2014, respectively.

NOTE 7: CONDITIONAL ASSET REMEDIATION OBLIGATION

The University has recognized liabilities for conditional asset retirement obligations. The University performed an analysis of such obligations and determined that asbestos remediation costs represented the primary source of such liabilities. The University reviewed facilities on all campuses and estimated the timing, method, and cost of remediation. The analysis included an estimated inflation factor and discount rate, which were used to determine the present value of the obligation.

The following table details the change in the liabilities for the year ended June 30:

	2015	2014
	<i>(in thousands of dollars)</i>	
Balance - beginning of year	\$ [REDACTED]	\$ [REDACTED]
Accretion and other adjustments	[REDACTED]	[REDACTED]
Liabilities settled	[REDACTED]	[REDACTED]
Balance - end of year	\$ [REDACTED]	\$ [REDACTED]

NOTES TO CONSOLIDATED FINANCIAL STATEMENTS

NOTE 8: BONDS AND NOTES PAYABLE

Bonds and notes payable at June 30 are reported based upon outstanding principal and consist of the following:

	Range of Years		Outstanding Principal	
	Remaining	2015 Effective	(in thousands of dollars)	
	to Maturity	Interest Rates	2015	2014
Variable-rate bonds:				
Series 2014-B1/B2 Bonds	10-20	0.05%-0.11%	\$	\$ -
Series 2007-B Bonds	25-26	0.06%-0.11%		
Series 2005-A Bonds	22-24	0.06%-0.10%		
Series 2005-B Bonds	16-23	0.05%-0.09%		
Series 2005-C Bonds	17-20	0.05%-0.09%		
Series 2002-B Bonds	16-21	0.07%-0.09%		
Total variable-rate bonds				
Fixed-rate bonds and notes:				
Series 2014-A Bonds	21-29	3.51%-3.65%		-
Series 2009-A/B Bonds	3 mos.-16	3.40%-5.10%		
Series 2007-B Bonds	8-13	4.28%-4.69%		
Series 2005-A Bonds	13-15	4.69%-4.83%		
Series 2002-A Bonds	3 mos.-8	2.68%-4.31%		
Series 2002-B Bonds	11-12	4.53%-4.74%		
Series 2000-A/B/C Bonds	9-20	4.37%-5.07%		
Series 2014 PANTHER Notes, due July 22, 2015		0.12%		-
Series 2013 PANTHER Notes, due July 11, 2014		0.18%		
Noninterest-bearing promissory note				
Total fixed-rate bonds and notes				
Unamortized net premium				
Debt issuance costs				
Total bonds and notes payable			\$	\$

Fair value estimates of the bonds and notes payable are based upon observable interest rates and maturity schedules, signifying Level 2 liabilities in the fair value hierarchy (\$ [REDACTED] in 2015 and \$ [REDACTED] in 2014).

The principal payments of bonds and notes payable for the next five years ending June 30 in millions of dollars are:

2016	\$	[REDACTED]
2017	\$	[REDACTED]
2018	\$	[REDACTED]
2019	\$	[REDACTED]
2020	\$	[REDACTED]

The foregoing principal payments do not include [REDACTED] of variable-rate demand bonds (VRDBs) in commercial paper (CP) mode, all of which have final maturity dates between 2031 and 2041. These bonds bear short-term rates that are fixed over staggered periods of approximately 90 days each and are remarketed at the expiry of each rate period.

Liquidity support for the \$[REDACTED] of outstanding VRDBs in CP mode is provided by the University. In the event the University receives notice of an optional tender on its VRDBs in CP mode, the purchase price of the bonds will be paid from the remarketing of such bonds. However, if the remarketing proceeds are insufficient, the University will have a current obligation to purchase the tendered bonds. To provide a secondary source of liquidity for this type of event, the University entered into a [REDACTED] unsecured standby liquidity agreement with a financial institution that matures in June 2016. Since the October 2009 effective date of the liquidity agreement, no draws have occurred.

On September 18, 2014, the University issued [REDACTED] in University Capital Project Bonds (2014 Bonds). The 2014 Bonds consist of [REDACTED] of Series A Bonds (fixed-rate bonds) and \$[REDACTED] of Series B Bonds (variable-rate bonds issued in CP mode). The 2014 Bonds have a final maturity date of 2044 with a weighted average life of 21.3 years.

The 2014 Pitt Asset Notes - Tax Exempt Higher Education Series (PANTHERS of 2014) were issued in July 2014 in the amount of [REDACTED] and were repaid on July 22, 2015.

In July 2015, the University issued its PANTHERS of 2015 in the amount of [REDACTED]. Of this amount, \$[REDACTED] was used to partially refund the [REDACTED] of PANTHERS of 2014 that matured on July 22, 2015, and \$[REDACTED] was used for equipment expenditures. The PANTHERS of 2015 mature on August 2, 2016.

The University had three general unsecured credit facilities, aggregating \$[REDACTED], at June 30, 2015. No draws were made under the facilities during 2015 or 2014. Although each of the three credit facilities carry an expiry date of October 27, 2015, it is management's intention to extend each facility for another 364-day term.

Interest costs incurred in 2015 and 2014 were [REDACTED] and \$[REDACTED] respectively. Included in these amounts are net swap payments and capitalized interest associated with various construction projects. Capitalized interest for 2015 and 2014 was \$[REDACTED] and \$[REDACTED], respectively.

NOTE 9: DERIVATIVE AND OTHER FINANCIAL INSTRUMENTS

The University does not issue or trade derivative financial instruments except as described herein. University financial assets are invested on its behalf with various investment managers, some of whom are authorized to employ derivative instruments, including swaps, futures, forwards, and options. These derivatives are generally used for managing interest rate or foreign currency risk or to attain or hedge a specific financial market position. Additionally, the University has entered into various interest rate swap agreements to hedge its interest rate risk associated with certain debt obligations.

The University may be exposed to financial loss should a derivative counterparty fail to perform pursuant to the instrument. In the case of exchange-traded derivatives, the counterparty is the exchange itself. In the case of over-the-counter derivatives, the counterparty is typically a financial institution. Counterparty risks are mitigated by using creditworthy counterparties, settling positions periodically, and requiring collateral to be posted at predetermined levels of exposure.

Not including University derivative instruments held by various alternative investment funds, University financial assets invested in derivative instruments had a fair value, based upon Level 1 of the fair value hierarchy, of \$ [REDACTED] and \$ [REDACTED] at June 30, 2015 and 2014, respectively, which are included in endowment investments on the Consolidated Balance Sheets.

The University liabilities arising from variable-to-fixed interest rate swap agreements associated with certain

University debt obligations had an aggregated fair value of \$ [REDACTED] and \$ [REDACTED] at June 30, 2015 and 2014, respectively, and are included in other liabilities on the Consolidated Balance Sheets (see Note 5). The fair value represents the estimated amount the University would be required to pay to terminate these agreements as of the respective fiscal year-end. The University recorded in the Consolidated Statements of Activities unrealized losses of \$ [REDACTED] in 2015 and \$ [REDACTED] in 2014 due to changes in fair value of the swaps.

The aggregate notional amount of the swap agreements associated with University debt was \$ [REDACTED] and \$ [REDACTED] at June 30, 2015 and 2014, respectively. These swaps were entered into for the sole purpose of hedging interest payable on certain University VRDBs. The variable interest rates received by the University under the swap agreements are either 67% or 70% of one- or three-month London Interbank Offered Rates (LIBOR), while the fixed rates paid by the University range from 3.25% to 5.14%. Net swap payments made or received by the University are reported in interest expense in the Consolidated Statements of Activities. No collateral was called or posted during 2015 or 2014 with respect to these swap agreements. Furthermore, the University does not anticipate posting collateral pursuant to these swap agreements since there are no collateral thresholds applicable to the University given the University's current credit ratings.

NOTE 10: PENSION AND POSTRETIREMENT OBLIGATIONS

Pension

The University provides retirement benefits under contributory or noncontributory plans to substantially all employees. The University's contributory plan provides for participation in the Teachers Insurance and Annuity Association (TIAA) and College Retirement Equities Fund (CREF) and in investment funds of the Vanguard Group. The plan is fully funded and requires three years of service for vesting of the University contribution. Employees hired before January 1, 1995 were immediately vested. University contributions to this plan in 2015 and 2014 were \$ [REDACTED] and \$ [REDACTED] respectively.

The noncontributory plan is a defined-benefit pension plan that covers employees who do not participate in the contributory plan. The plan provides for vesting after five years with pension benefits accruing at 2.1% of base salary or the Social Security wage base, whichever is lower. Pension benefits are payable upon normal retirement at age 65 or early retirement at age 55, in accordance with the conditions and pension eligibility criteria described in the plan. University contributions to this plan in 2015 and 2014 were \$ [REDACTED] and \$ [REDACTED], respectively.

Postretirement

The University also provides postretirement medical and life insurance benefits to eligible employees and their spouses upon retirement through a contributory benefit plan.

Though funding is not required, the University has elected to fund its postretirement liability via a quasi-endowment fund, which is managed together with the University's pooled endowment investments (see Notes 4 and 11). The fair value of these investments at June 30, 2015 and 2014 was \$ [REDACTED] and \$ [REDACTED], respectively, and is included in endowment investments on the Consolidated Balance Sheets. Although the University has established this quasi-endowment for the postretirement plan, payments to beneficiaries of this plan are currently made through nonendowed operating funds.

Under the Medicare Prescription Drug, Improvement, and Modernization Act of 2003, the federal government provides a subsidy to employers equal to 28% of the employer's qualifying prescription drug costs for retirees if the plan offered by the employer is at least actuarially equivalent to Medicare Part D. The University is qualified for and receives the subsidy via a reduction in premiums charged by its provider.

In 2010, the Patient Protection and Affordable Care Act and the Health Care and Education Reconciliation Act (collectively, the Health Care Acts) were signed into law. The Health Care Acts include several provisions that are included in the measurement of the postretirement benefit obligation.

The University uses a measurement date of June 30 for plan assets and the benefit obligations. Information related to the benefit obligation, assets, and funded status of the defined-benefit pension plan and the postretirement benefit plan as of and for the years ended June 30, 2015 and 2014 is summarized in the table below:

	Defined-Benefit Plan		Postretirement Plan	
	2015	2014	2015	2014
	(in thousands of dollars)			
Net periodic benefit cost:				
Service cost	\$	\$	\$	\$
Interest cost				
Expected return on plan assets			-	-
Actuarial loss				
Amortization of prior service credit				
Net periodic benefit cost	\$	\$	\$	\$
Funded status:				
Benefit obligation at beginning of year	\$	\$	\$	\$
Service cost				
Interest cost				
Actuarial loss				
Benefits paid				
Benefit obligation at end of year	\$	\$	\$	\$
Fair value of plan assets at beginning of year	\$	\$		
Actual return on plan assets				
Actual plan contributions				
Benefits paid				
Fair value of plan assets at end of year	\$	\$		
Funded status – liability recognized on Consolidated Balance Sheets:				
Pension and postretirement obligations	\$	\$	\$	\$
Accumulated benefit obligation	\$	\$		

Estimated 2016 employer contribution to the defined-benefit plan:

(in thousands of dollars)

\$

In October 2014, the Society of Actuaries released new data regarding observed mortality rate improvements since 2000 (the RP-2014 Mortality Tables and the MP-2014 Mortality Improvement Scale). The updated mortality tables were considered by the University and

adopted as of June 30, 2015. Implementation of the new mortality tables increased the projected benefit obligation of the postretirement plan by \$ and the defined-benefit pension plan by \$

	Defined-Benefit Plan		Postretirement Plan	
	2015	2014	2015	2014
Weighted-average assumptions used to determine the benefit obligation (liability) at June 30:				
Discount rate	4.8%	4.5%	4.8%	4.5%
Rate of compensation increase	3.0%	3.0%	-	-
Assumed health care trend cost:				
Initial trend – pre-age 65 retirees	-	-	7.0%	7.0%
Initial trend – post-age 65 retirees	-	-	6.0%	5.0%
Ultimate trend	-	-	4.5%	4.5%
Year to reach ultimate	-	-	2023	2020

Weighted-average assumptions used to determine the net periodic cost (expense) for the years ended June 30:

Discount rate	4.5%	5.0%	4.5%	5.0%
Rate of compensation increase	3.0%	3.0%	-	-
Expected long-term return on plan assets	7.5%	7.5%	-	-
Assumed health care trend cost:				
Initial trend – pre-age 65 retirees	-	-	7.0%	8.0%
Initial trend – post-age 65 retirees	-	-	5.0%	6.0%
Ultimate trend	-	-	4.5%	4.5%
Year to reach ultimate	-	-	2020	2021

	Defined-Benefit Plan	Postretirement Plan
Estimated future benefit payments:		
	<i>(in thousands of dollars)</i>	
2016	\$ [REDACTED]	\$ [REDACTED]
2017	\$ [REDACTED]	\$ [REDACTED]
2018	\$ [REDACTED]	\$ [REDACTED]
2019	\$ [REDACTED]	\$ [REDACTED]
2020	\$ [REDACTED]	\$ [REDACTED]
2021 - 2025	\$ [REDACTED]	\$ [REDACTED]

A one-percentage point change in assumed health care cost trend rates would have the following effects on the postretirement plan:

	Increase		Decrease	
	(in millions of dollars)			
	Revised Amount	Percent Change	Revised Amount	Percent Change
Service and interest cost (medical component only)	\$ █	6.7%	\$ █	13.2%
Total periodic benefit cost	\$ █	11.1%	\$ █	20.9%
Benefit obligation for health care benefits	\$ █	6.4%	\$ █	10.9%
Total benefit obligation	\$ █	5.9%	\$ █	10.0%

Pension Assets

Assets related to the University's defined-benefit pension plan are segregated in a trust managed by a third-party investment manager. The fair value of these assets at June 30, 2015 and 2014 was \$ [REDACTED] and \$ [REDACTED], respectively. The fund is invested through common collective trust funds in domestic and international equities and fixed-income securities using the S&P 500 Index as a benchmark for domestic equities, the MSCI EAFE Index for international equities, and the Barclays Intermediate Government/Credit Bond Index for the fixed-income securities. The specific investment objective is to meet or exceed the investment policy benchmark over the long term. Plan investments are determined using NAV per share as a practical expedient for estimated fair value. The plan has no unfunded commitments.

The long-term investment strategy for pension plan assets is to meet present and future benefit obligations to all participants and beneficiaries; cover reasonable expenses incurred to provide such benefits, including expenses

incurred in the administration of the trust and the plan; provide sufficient liquidity to meet benefit and expense payment requirements on a timely basis; and provide a total return that, over the long term, maximizes the ratio of trust assets to liabilities by maximizing investment return, at an appropriate level of risk. The expected return on plan assets is based on a weighted average of the individual expected return for each asset category in the plan's portfolio. Expected return comprises inflation plus the real rate of return for each asset class.

Over the long term, asset allocation is believed to be the single greatest determinant of risk and return. Asset allocation will deviate from the target percentages due to market movement, cash flows, and investment manager performance. Material deviations from the asset allocation target can alter the expected return and risk of the trust. However, frequent rebalancing to the asset allocation targets may result in significant transaction costs, which can impair the trust's ability to meet its investment objective.

The target allocation for both fiscal years and the fair value of the University's pension plan assets at June 30, by asset category, were as follows:

Asset class	Target Allocation	2015	2014
		<i>(in thousands of dollars)</i>	
Equity securities:			
Stock index and small cap	35%	\$ [REDACTED]	\$ [REDACTED]
International	35%	[REDACTED]	[REDACTED]
Debt securities	30%	[REDACTED]	[REDACTED]
Cash and cash equivalents	-	[REDACTED]	[REDACTED]
Total pension plan assets		\$ [REDACTED]	\$ [REDACTED]

Pension plan investments are generally measured at fair value using the NAV per share as a practical expedient and are not classified in the fair value hierarchy. Cash and cash equivalents are Level 2 in the fair value hierarchy.

NOTE 11: ENDOWMENT NET ASSETS

The commonwealth has not adopted The Uniform Prudent Management of Institutional Funds Act of 2006 (UPMIFA) and, instead, enacted in December 1998 Pennsylvania Act 141 (codified as Title 15 of the Pennsylvania Consolidated Statutes §5548(c) and referred to herein as "Title 15") to govern the investment of restricted funds held in trust by Pennsylvania nonprofit corporations. Title 15 permits Pennsylvania nonprofit corporations to elect a total return approach for determining income distributions from restricted funds held in trust, whereby income is defined as a stipulated percentage of the value of the assets held; the stipulated percentage must be determined at least annually and may be no less than 2% nor more than 7%, and the value of the assets held must be averaged over a period of three or more preceding years. A resolution to elect a total return approach for determining endowment income distributions for the University's consolidated investment pool was passed by the University's Board of Trustees on October 21, 1999. The University's endowment income distribution is determined annually using a stipulated

percentage of 4.25% of the endowment's three-year average fair value, provided that such distribution is not less than the amount distributed in the previous year. The endowment income distribution amounts for both 2015 and 2014 were approximately 4.25% of the endowment's three-year average fair value.

Employing the total return approach, the University records the original value of an endowed contribution as a permanently restricted asset, along with any endowment income distributions that are reinvested in the endowment. Nonendowed funds that lack third party donor restrictions but function as endowments (quasi-endowments) are classified as unrestricted net assets. Gains and losses attributable to donor-restricted endowed funds are recorded as temporarily restricted net assets, whereas gains and losses attributable to quasi-endowment funds are recorded as unrestricted net assets.

The University's endowment net assets at June 30 were as follows:

2015				
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
	<i>(in thousands of dollars)</i>			
Donor-restricted endowment funds	\$ -	\$	\$	\$
Quasi-endowment funds		-	-	
Total endowment net assets	\$	\$	\$	\$
2014				
	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
	<i>(in thousands of dollars)</i>			
Donor-restricted endowment funds	\$ -	\$	\$	\$
Quasi-endowment funds		-	-	
Total endowment net assets	\$	\$	\$	\$

The change in endowment net assets for the years ended June 30, 2015 and 2014 was as follows:

	Unrestricted	Temporarily Restricted	Permanently Restricted	Total
	<i>(in thousands of dollars)</i>			
Endowment net assets – June 30, 2013	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]
Endowment return:				
Endowment earnings	[REDACTED]	-	[REDACTED]	[REDACTED]
Gains	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Total endowment return	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Contributions	[REDACTED]	-	[REDACTED]	[REDACTED]
Distributions for operations	[REDACTED]	-	-	[REDACTED]
Net transfers	[REDACTED]	-	-	[REDACTED]
Endowment net assets – June 30, 2014	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Endowment return:				
Endowment earnings	[REDACTED]	-	[REDACTED]	[REDACTED]
Gains (losses)	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Total endowment return	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
Contributions	[REDACTED]	-	[REDACTED]	[REDACTED]
Distributions for operations	[REDACTED]	-	-	[REDACTED]
Net transfers	[REDACTED]	-	-	[REDACTED]
Endowment net assets – June 30, 2015	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]	\$ [REDACTED]

Approximately 99% of the University's endowment funds are collectively managed in a broadly diversified pool of assets called the consolidated investment pool. The Investment Committee of the Board of Trustees

provides general oversight, policy guidance and performance review of the consolidated investment pool and approves asset allocation and spending policies.

NOTE 12: FUNCTIONAL EXPENSES

The University accounts for expenses according to major classes of program services or functions. Functional expenses for the years ended June 30 consist of the following:

	2015	2014
	<i>(in thousands of dollars)</i>	
Instruction	\$	\$
Research		
Public service		
Academic support		
Libraries		
Student services		
Institutional support		
Auxiliary enterprises		
Total functional expenses	\$	\$

Costs related to the operation and maintenance of property, including depreciation of property and equipment and interest on related debt, are primarily allocated to program and support activities based upon salary effort.

NOTE 13: RELATED PARTIES

The University has relationships and affiliation agreements with separately incorporated entities including UPMC and affiliated hospitals and UPP. These relationships include a common paymaster arrangement for certain University School of Medicine (SOM) faculty with academic and clinical responsibilities; contractual obligations for UPMC and UPP to support certain educational and research functions at the University; and property rental agreements. Transactions with all related entities are conducted in the ordinary course of business and are discussed below.

Certain University SOM faculty and staff provide clinical services through their University appointments to UPMC, UPP, and affiliated hospitals. The University invoices these entities monthly for reimbursement of the clinical portion of the associated compensation costs. SOM faculty members having both a University academic appointment and a separate, external appointment for clinical responsibilities participate in the common paymaster arrangement for purposes of determining appropriate FICA taxation. In addition to the reimbursable compensation costs, the University also engages in other

transactions with these entities, which include providing certain facilities-related services, telephone, mailing, printing, and various other services, which are reimbursed at cost. Reimbursements from UPMC, UPP, and affiliated hospitals for clinical compensation and other costs totaled \$ and in 2015 and 2014, respectively.

In 1998, the University signed a 10-year agreement with UPMC that included financial commitments designed to further the two entities' commitment to their interrelated teaching, research, clinical care, and community service missions. As part of the agreement, UPMC provides \$ annually in funding for the SOM. UPMC also provides additional funding up to \$ annually on a matching basis. The match is on a one-to-two basis with UPMC matching for every \$ provided by the University to support health sciences programs. The University has received this match each year since the inception of the agreement. This agreement was amended in 2007 under essentially the same terms, except for a provision to provide an additional \$ per year in 2007, increased annually by \$ from

2008 through 2016. The University received [REDACTED] and \$[REDACTED] (including the annual match) in 2015 and 2014, respectively. Effective July 1, 2014, the term of the agreement was extended through June 30, 2018. These amounts are reported as other revenue in the Consolidated Statements of Activities.

The UPMC agreement was further amended in 2009 to include additional financial support through the Children's Hospital of Pittsburgh of UPMC (CHP) to the University of at least \$[REDACTED] annually related to an agreement detailing the transfer of certain pediatric research programs from CHP to the University. This transfer standardized procedures, eliminated duplication of services, improved efficiency, reduced costs, and enhanced recruitment efforts for pediatric programs. The University received \$[REDACTED] and \$[REDACTED] in 2015 and 2014, respectively, related to this additional support. These amounts are reported as sales and services, educational and other in the Consolidated Statements of Activities.

UPMC also provided [REDACTED] and [REDACTED] in 2015 and 2014, respectively, of contractual dean's tax, which represents support for the academic and research activities of the SOM. This activity is reported as sales and services, educational and other in the Consolidated Statements of Activities.

UPMC also provides additional academic support to the SOM. These funds are used to support new programs, recruit faculty, and for general support of the School's academic mission. The University received \$[REDACTED] and \$[REDACTED] in 2015 and 2014, respectively, related to this additional support. These amounts are reported as sales and services, educational and other in the Consolidated Statements of Activities.

Additionally, UPMC provided support to various departments within the SOM to augment their operating budgets. These payments were made to those departments which do not generate sufficient revenues to meet their research and academic costs. Payments made by UPMC for this purpose totaled \$[REDACTED] and [REDACTED] in 2015 and 2014, respectively, and are reported as sales and services, educational and other in the Consolidated Statements of Activities.

The University is involved in certain rental arrangements where the University acts as both lessor or lessee with UPMC and its affiliates. Rental revenue from UPMC and

affiliates totaled \$[REDACTED] and \$[REDACTED] in 2015 and 2014, respectively. Rent expense paid to UPMC and affiliates totaled \$[REDACTED] and [REDACTED] in 2015 and 2014, respectively.

In July 2013, UPMC provided support of \$[REDACTED] for building renovations in the Department of Neurosurgery at the SOM. This amount is reported as unrestricted contributions for operations in the Consolidated Statement of Activities.

In April 2013, the University entered into a five-year agreement with UPMC to provide full-time, armed police aid, support, and assistance for certain UPMC facilities. Payments made by UPMC for these services totaled \$[REDACTED] and \$[REDACTED] in 2015 and 2014, respectively, and are reported as other revenue in the Consolidated Statements of Activities.

UPMC serves as the provider of health insurance coverage to all eligible University employees who enroll in the plan. The University is self-insured for these costs and reimburses UPMC for actual claims cost. Health insurance expense including administrative fees totaled \$[REDACTED] and \$[REDACTED] in 2015 and 2014, respectively, and is reported as fringe benefits in the Consolidated Statements of Activities.

UPMC receives federal matching funds for costs incurred by academic medical centers for medical assistance services. The funds are remitted to the University to support the activities of the SOM, the Western Psychiatric Institute and Clinic (WPIC), the Center for Public Health Practice, and the clinic within the School of Dental Medicine. These remittances were \$[REDACTED] and \$[REDACTED] million in 2015 and 2014, respectively, and are reported as commonwealth appropriation revenue in the Consolidated Statements of Activities.

In 2003, the University and UPMC created the Medical and Health Sciences Foundation (MHSF), a separate 501(c)(3) organization. The mission of MHSF is to create a unified fundraising organization for the University's schools of the health sciences and UPMC. The arrangement calls for the cost of MHSF to be split evenly between the University and UPMC. In 2015 and 2014, UPMC's share of total operating costs for MHSF totaled \$[REDACTED] for both years, and is reported as other revenue in the Consolidated Statements of Activities. All contributions generated by MHSF are credited to the University or UPMC based upon donor intent.

In November 2004, the University entered into an agreement with UPMC to jointly construct and own the Carrillo Street steam plant, a gas-fired steam-generating facility. The University funded 78.1% of construction costs with UPMC funding the remaining 21.9%. The plant provides steam to each entity's respective buildings and is managed by the University.

A lease arrangement exists between the University and the commonwealth for WPIC. Since 1949, the University has managed WPIC under an agreement between the University and the commonwealth whereby the University rents for a consideration of \$ [REDACTED] per year the land, building, equipment, and other items that are used by WPIC. The agreement provides for continuing terms of 10 years each; however, this agreement is cancelable by either party on one year's written notice. In 1992, the University subleased to UPMC the land, building, equipment, and other items subject to the current lease arrangement between the commonwealth and the University. This sublease arrangement continued to be in effect during 2015 and 2014. Included in property, plant,

and equipment is [REDACTED] and \$ [REDACTED] at June 30, 2015 and 2014, respectively, related to the land, buildings, and equipment used by WPIC. Accumulated depreciation related to these assets totaled \$ [REDACTED] and [REDACTED] at June 30, 2015 and 2014, respectively.

The University also has an arrangement with UPMC whereby certain research-related costs incurred by UPMC (primarily staff compensation) in relation to WPIC and the University of Pittsburgh Cancer Institute (UPCI) research awards are charged to such awards via an electronic billing and reimbursed to UPMC each month. Payments totaled \$ [REDACTED] in 2015 and \$ [REDACTED] in 2014 and are recorded as expenses in the Consolidated Statements of Activities. All billings are recorded at cost.

UPMC provided support payments to UPCI for various subsidies, research initiatives, and general support. These payments totaled \$ [REDACTED] and [REDACTED] in 2015 and 2014, respectively, and are primarily reported in other revenue in the Consolidated Statements of Activities.

NOTE 14: COMMITMENTS AND CONTINGENCIES

At June 30, 2015 and 2014, the University had outstanding contractual commitments of [REDACTED] and \$[REDACTED], respectively, for property, plant, and equipment expenditures.

The University engages in various leasing activities as both a lessor and lessee. Rental revenue from operating leases was \$[REDACTED] and [REDACTED] in 2015 and 2014, respectively. Rental expense for operating leases was \$[REDACTED] in 2015 and \$[REDACTED] in 2014. Minimum future rental revenue and expense under operating leases that have initial or remaining noncancelable lease terms for the years ended June 30 are as follows:

	Rental Revenue	Rental Expense
	<i>(in thousands of dollars)</i>	
2016	\$ [REDACTED]	\$ [REDACTED]
2017	\$ [REDACTED]	\$ [REDACTED]
2018	\$ [REDACTED]	\$ [REDACTED]
2019	\$ [REDACTED]	\$ [REDACTED]
2020	\$ [REDACTED]	\$ [REDACTED]
Thereafter	\$ [REDACTED]	\$ [REDACTED]

The University is a defendant in a number of legal actions seeking damages and other relief from the University. While the final outcome of each action cannot be determined at this time, legal counsel and University management are of the opinion that the liability, if any, in these legal actions will not have a material adverse effect on the University's consolidated financial statements.

The University receives significant support from UPMC to continue the two entities' commitment to their interrelated teaching, research, clinical care, and community service missions. There are various agreements between the University and UPMC that provide for this support (see Note 13), but there is no guarantee these agreements will be renewed in future periods.

The University receives significant financial assistance from the federal government including the sponsorship of

federal research projects. Grants and contracts normally provide for the recovery of direct and indirect costs. Recovery of indirect costs is recorded at predetermined rates negotiated with the federal government. Entitlement to these resources for the recovery of the applicable direct and related indirect costs is generally conditioned upon compliance with the terms and conditions of the grant agreements and applicable federal regulations, including the expenditure of the resources for eligible purposes. Substantially all grants and the University's indirect cost rate are subject to financial and compliance reviews and audits by the grantors. In management's opinion, the likelihood of a material adverse outcome upon the University's financial position from those reviews and audits is remote.

In 2014, the University received [REDACTED] in a legal settlement regarding a patent infringement case. This amount is reported, net of \$[REDACTED] in legal and other expenses, as other revenue in the Consolidated Statement of Activities.

As part of ongoing operations, the University enters into utility contracts to secure electric and natural gas rates. These contracts are with various utility suppliers and some of the contracts cover multiple years. The University monitors the energy markets on an ongoing basis, and will make commitments on new rates if deemed in the best interest of the University.

The University conducts a review of contracts and agreements that may contain guarantees, including loan guarantees such as standby letters of credit and indemnifications. In certain contracts, the University agrees to indemnify a third-party service provider under certain circumstances. Pursuant to its bylaws, the University provides indemnification to directors, officers and, in some cases, employees and agents against certain liabilities incurred as a result of service provided on behalf of or at the request of the University. The terms of indemnity vary from agreement to agreement, and the amount of indemnification, if any, cannot be reasonably determined.

NOTE 15: SUBSEQUENT EVENTS

The University has evaluated subsequent events through September 24, 2015, the date on which the consolidated financial statements were issued, and determined that

there were no subsequent events requiring disclosure or adjustment to the consolidated financial statements.

MEMBERSHIP OF THE BOARD OF TRUSTEES FISCAL YEAR 2015

<p>MEMBERS EX OFFICIO (NONVOTING)</p> <p>Tom Wolf, Governor of the Commonwealth of Pennsylvania</p> <p>Pedro Rivera, Acting Secretary of Education of the Commonwealth of Pennsylvania</p> <p>Rich Fitzgerald, Chief Executive of Allegheny County</p> <p>William Peduto, Mayor of the City of Pittsburgh</p>	<p><i>2014 – 18</i> Mary Ellen Callahan James Covert Terrence P. Laughlin Keith E. Schaefer</p> <p><i>2015 – 19</i> Robert G. Lovett Martha Hartle Munsch William E. Strickland Jr. Stephen R. Tritch</p>	<p>ALUMNI TRUSTEES</p> <p><i>2012 – 16</i> Jack D. Smith</p> <p><i>2013 – 17</i> Douglas M. Browning Bryant J. Salter</p> <p><i>2014 – 18</i> Jane Bilewicz Allred F. James McCarl III</p> <p><i>2015 – 19</i> Michael A. Bryson</p>	<p>EMERITUS TRUSTEES</p> <p>J. David Barnes Steven C. Beering Thomas G. Bigley Frank V. Cahouet John G. Conomikes George A. Davidson Jr. Herbert P. Douglas Jr. Helen S. Faison D. Michael Fisher E. Jeanne Gleason J. Roger Glunt Henry L. Hillman Earl F. Hord A. Alice Kindling Paul E. Lego George L. Miles Jr. Frank E. Mosier Alfred L. Moyé Thomas H. O'Brien Anthony J.F. O'Reilly Robert A. Paul James C. Roddey Farrell Rubenstein Richard P. Simmons Burton M. Tansky Dick Thornburgh Thomas J. Usher Edward P. Zemprelli</p>
<p>MEMBER EX OFFICIO (VOTING)</p> <p>Patrick Gallagher, Chancellor and Chief Executive Officer</p>	<p>SPECIAL TRUSTEES</p> <p><i>2012 – 16</i> David C. Chavern Brenton L. Saunders Charles M. Steiner Tracey T. Travis</p> <p><i>2013 – 17</i> Deborah J. Gillotti Roberta A. Luxbacher Larry J. Merlo</p> <p><i>2014 – 18</i> Robert M. Hernandez Sam S. Zacharias</p> <p><i>2015 – 19</i> G. Nicholas Beckwith III Emil M. Spadafore Jr. A. David Tilstone</p>	<p>COMMONWEALTH TRUSTEES</p> <p><i>G: Governor appointment H: House appointment S: Senate appointment</i></p> <p><i>2011 – 15</i> John A. Barbour (G) Herbert S. Shear (H) Peter C. Varischetti (S)</p> <p><i>2012 – 16</i> Jay Costa Jr. (S) Bradley J. Franc (G) Thomas O. Johnson III (H)</p> <p><i>2013 – 17</i> Sy Holzer (G) William K. Lieberman (S) Thomas VanKirk (H)</p> <p><i>2014 – 18</i> John A. Maher III (H) John J. Verbanac (S)</p>	
<p>TERM TRUSTEES</p> <p><i>2012 – 16</i> Eva Tansky Blum Brian Generalovich Marlee S. Myers John H. Pelusi Jr. Robert P. Randall</p> <p><i>2013 – 17</i> Suzanne W. Broadhurst Ira J. Gumberg Dawne S. Hickton Thomas E. Richards</p>			

The consolidated financial statements have been reviewed and approved by the University's Audit Committee. The Audit Committee is comprised of outside directors having requisite financial expertise and meets regularly with University management and both internal and external auditors to review internal accounting controls, audit issues, and financial reporting matters. The committee meets with the external auditors in private sessions and is also responsible for approving the independent auditing firm retained each year. Nonvoting representatives on the committee include members of the University's administration as well as student, faculty, and staff representatives.

Department of Human Services
 Allegheny County
 Process Evaluation
 3/1/16 through 2/28/17

Staff	Role	% of Effort	Annual Salary	Salary
Eichner, Joan	Project Director	50.00%	\$	
Smith-Jones, Janell	Evaluator	50.00%	\$	
Graduate Student	Data Collection	20.00%	\$	
FTE		120.00%		
Staff Fringe @ 39.1%				\$
GSR Fringe @ 50.0%				
Total Compensation				\$
Supplies \$100/FTE				
Travel				
Telephone @ \$240/FTE				
Mail @ \$25/FTE				
Copying @ \$75/FTE				
Rent @ \$10.80/Sq.ft. x % of effort x office size				
Total Other				
Indirect Costs @ 10.0%				
Total Budget				\$

Department of Human Services
 Allegheny County
 Impact Evaluation
 3/1/16 through 2/28/17

Staff	Role	% of Effort	Salary
Eichner, Joan	Project Director	40.00%	
McCall, Robert	Statistician	15.00%	
Graduate Student	Data Collection	20.00%	
FTE		75.00%	

Staff Fringe @ 39.1%
 Faculty Fringe @ 32.1%
 GSR Fringe @ 50.0%

Total Compensation

Supplies \$100/FTE
 Travel
 Telephone @ \$240/FTE
 Mail @ \$25/FTE
 Copying @ \$75/FTE
 Rent @ \$10.80/Sq.ft. x % of effort x office size

Total Other

Indirect Costs @ 10.0%

Total Budget

University of Pittsburgh Office of Child Development
Evaluating a Predictive Risk Modeling Tool in Child Welfare

Budget Narrative

Estimated project period: March 1, 2016 – February 28, 2017

Budget Justification		Costs
<i>Process Evaluation</i>		
Personnel		
Joan Eichner Evaluation Director, FTE .50 The evaluation director will lead the evaluation design, implementation and final reporting; act as the primary contact and liaison between all partners and the university; and oversee all budget, staffing, and grant administration activities for the duration of the project.		
Janell Smith-Jones Evaluator, FTE .50 The evaluator will be responsible for data collection, management, and analysis. Specific duties will include overseeing data collection, managing confidentiality during data collection and data management, obtaining any necessary IRB approvals, and leading data analysis.		
Graduate Student Researcher (TBD) Project Support, FTE .20 The GSR will support the project team in data collection activities and support data management and analysis. Specific activities will include note-taking and transcribing qualitative data from interviews and focus groups, record review, providing administrative support such as developing meeting agendas, and supporting final report writing and dissemination activities.		
Other payroll expenses Fringe benefits are estimated at 39.1% for staff (JE and JS) and 50% for GSR		
Travel Local travel to collect data, attend project meetings, and disseminate findings		
Other direct costs Includes: project supplies; communications, printing, postage, etc.; office rental: formulas are included on the budget spreadsheet.		
Indirect costs 10% The University of Pittsburgh's indirect Sponsored Research (off-campus adjacent) rate is 27.8%.		
Total Impact Process Budget		\$
<i>Impact Evaluation</i>		
Personnel		
Joan Eichner Evaluation Director, FTE .40		

The evaluation director will lead the evaluation design, implementation and final reporting; act as the primary contact and liaison between all partners and the university; and oversee all budget, staffing, and grant administration activities for the duration of the project.	
Graduate Student Researcher (TBD) Project Support, FTE .20 The GSR will support the project team in data collection activities and support data management and analysis. Specific activities will include note-taking and transcribing qualitative data from interviews and focus groups, record review, providing administrative support such as developing meeting agendas, and supporting final report writing and dissemination activities.	
Robert McCall Statistician, FTE .15 The statistician will provide consultation and oversight of the data collection plan and all analyses, and will provide editorial oversight for final reporting and dissemination activities.	
Other payroll expenses Fringe benefits are estimated at 39.1% for staff (JE), 32.1% for faculty (RM), and 50% for GSR	
Travel Local travel to collect data, attend project meetings, and disseminate findings	
Other direct costs Includes: project supplies; communications, printing, postage, etc.; office rental; formulas are included on the budget spreadsheet.	
Indirect costs 10% The University of Pittsburgh's indirect Sponsored Research (off-campus adjacent) rate is 27.8%.	
Total Impact Evaluation Budget	\$
Total Year 1 Project Costs	\$

University of Pittsburgh Office of Child Development

References

Robert Nelkin
President and Chief Professional Officer
United Way of Allegheny County
1250 Penn Avenue, Pittsburgh, PA 15222
412-456-6800

bnelkin@uwac.org

Mr. Nelkin has worked at OCD and has invited the Office to conduct a variety of projects, including scans and research reports pertaining to human services and needs in the region.

Carl N. Johnson, Ph.D.
Former and Interim Chair, Department of Psychology in Education, School of Education
University of Pittsburgh
5941 Wesley W. Posvar Hall, Pittsburgh, PA 15260
412-624-6942

johnson@pitt.edu

Dr. Johnson is one of the founders of OCD and he has watched its growth and performance for 28 years. He is well acquainted with its research and evaluation capabilities, reports, research contributions, and personnel.

Margaret M. Petruska
Senior Program Director, Child Youth and Families Program
The Howard Heinz Endowments
Dominion Tower, Floor 30
625 Liberty Avenue, Pittsburgh, PA 15222
412-338-2615

mpetruska@heinz.org

Ms. Petruska has funded and followed the development of the Office for its entire history, has commissioned numerous scans and reports from the Office, and knows its personnel and their capabilities.

ALLEGHENY COUNTY
DEPARTMENT OF HUMAN SERVICES
PROPOSAL COVER PAGE

SOLICITATION:

Contact Information	
ORGANIZATION OR INDIVIDUAL: <u>University of Pittsburgh</u>	
AUTHORIZED REPRESENTATIVE:	
Name: Jennifer Woodward Ph.D.	Title: Associate Vice Provost for Research Operations
ADDRESS: 123 University Place Pittsburgh, PA 15213	
TELEPHONE #: 412-624-7405	FAX #: 412-624-7409
E-MAIL ADDRESS: jew7@pitt.edu	
WEBSITE:	

Proposal Information
DATE SUBMITTED: January 4, 2016
AMOUNT REQUESTED: [REDACTED]
*PROPOSAL ABSTRACT: In response to an RFP issued by the Allegheny County Department of Human Services (DHS), the Office of Child Development is submitting a proposal to conduct a one year process evaluation of the use of a predictive risk modeling tool in the child welfare system. This tool is designed to create a composite score of a child's future risk based on data collected in the DHS Data Warehouse. OCD will conduct this evaluation to determine how the predictive risk modeling tool is used by child welfare workers and other key stakeholders involved in child welfare. Our methods will include observations of child welfare screeners using the tool, key stakeholder interviews, and focus groups. Our finally report will describe how call screeners interpret and use the new tool in their decision making.

*Please limit your response to 750 characters

Please check each of the following before submitting your Proposal:

☒ My firm is registered with the Allegheny County Department of Minority, Women and Disadvantaged Business Enterprises

☒ By submitting this proposal, I agree that, if offered a contract award, I will comply with the standard County terms and conditions for County contracts.

☒ By submitting this proposal, I agree to comply with DHS Cyber Security, EEOC/Non-Discrimination and HIPAA requirements.

☒ By submitting this proposal, I certify and represent to the County that all submitted materials are true and accurate, and that I have not offered, conferred or agreed to confer any pecuniary benefit or other thing of value for the receipt of special treatment, advantaged information, recipient's decision, opinion, recommendation, vote or any other exercise of discretion concerning this RFP.

ALLEGHENY COUNTY
DEPARTMENT OF HUMAN SERVICES
PROPOSAL COVER PAGE

SOLICITATION:

Contact Information	
ORGANIZATION OR INDIVIDUAL: <u>University of Pittsburgh</u>	
AUTHORIZED REPRESENTATIVE:	
Name: Jennifer Woodward Ph.D.	Title: Associate Vice Provost for Research Operations
ADDRESS: 123 University Place Pittsburgh, PA 15213	
TELEPHONE #: 412-624-7405	FAX #: 412-624-7409
E-MAIL ADDRESS: jew7@pitt.edu	
WEBSITE:	

Proposal Information
DATE SUBMITTED: January 4, 2016
AMOUNT REQUESTED: \$92,929
*PROPOSAL ABSTRACT: In response to an RFP issued by the Allegheny County Department of Human Services (DHS), the Office of Child Development is submitting a proposal to conduct a one year impact evaluation of the use of a predictive risk modeling tool in the child welfare system. This tool is designed to create a composite score of a child's future risk based on data collected in the DHS Data Warehouse. OCD will conduct this evaluation to determine if and how the predictive risk modeling tool leads to better decisions in child welfare. Our methods will include comparing screening decisions made prior to the use of the tool with those made after the new tool is implemented, on an individual call screener level and overall. Key outcomes include the number of children "screened in" unnecessarily (false positives), those "screened out" erroneously (false negatives), and disproportionalities in screening outcomes, by race/ethnicity and other key indicators. Our final report will describe the impacts of using the new predictive risk modeling tool in the child welfare system.

*Please limit your response to 750 characters

Please check each of the following before submitting your Proposal:

☒ My firm is registered with the Allegheny County Department of Minority, Women and Disadvantaged Business Enterprises

☒ By submitting this proposal, I agree that, if offered a contract award, I will comply with the standard County terms and conditions for County contracts.

☒ By submitting this proposal, I agree to comply with DHS Cyber Security, EEOC/Non-Discrimination and HIPAA requirements.

☒ By submitting this proposal, I certify and represent to the County that all submitted materials are true and accurate, and that I have not offered, conferred or agreed to confer any pecuniary benefit or other thing of value for the receipt of special treatment, advantaged information, recipient's decision, opinion, recommendation, vote or any other exercise of discretion concerning this RFP.

**COUNTY OF ALLEGHENY
M/W/DBE PARTICIPATION WAIVER REQUEST**

PROVIDER _____

ADDRESS _____

CONTACT PERSON _____

TELEPHONE NUMBER _____

EMAIL ADDRESS _____

FISCAL YEAR/PERIOD _____

In all instances a good faith effort must be made to meet the M/W/DBE contract goals as outlined in Section 3.10.8.8 of the "Minority and Women Business Enterprise Utilization Affirmative Action Requirements" document.

If you plan to perform the entire contract without using M/W/DBE subcontractors and/or suppliers or have not completely met the M/W/DBE goal of 13% MBE 2% WBE, the following must be attached and submitted with this form:

- * A detailed explanation of your normal business practice
- * Operation and/or Inventory Profile
- * An active company supplier/subcontractor diversity policy
- * Explanation as to why M/W/DBE participation waiver is being requested

Note: The fully completed M/W/DBE Participation Statement must accompany this waiver request, that shows your "Good Faith Effort"

Prepared By: _____

Title: _____

Date: _____

Signature: _____

Christine L. McClure

Associate Director for Grant Operat

County of Allegheny M/W/DBE Participation Waiver Request

- **A detailed explanation of your normal business practice**

Vision, Mission and Purpose

All children, youth, and families will develop in safe and supportive environments and achieve their life potentials.

Who We Are

The University of Pittsburgh, Office of Child Development is a university-community public-private informational resource and management facility that contributes to the welfare of children, youth, families, and communities in greater Pittsburgh, the Commonwealth of Pennsylvania, the nation, and around the world.

Our Constituents

We are an intermediate organization serving those who work to improve the lives of children, families, and communities. These constituents include faculty and administrators of the University, service professionals, and agencies, policy makers, and public and private funders.

Our Mission

Through mutually beneficial partnerships with our constituents, we facilitate and develop new knowledge, services, and policies to improve the lives of children and families. We do this work in five domains:

- Interdisciplinary education and training.
- Interdisciplinary research and scholarship.
- Human service demonstration programs, networking, and strategic planning.
- Program monitoring and evaluation.
- Needs assessments and policy studies.

Specific Purposes

Creating and maintaining a supportive and facilitative atmosphere for its constituencies so that interdisciplinary and collaborative activities may be conceived, nurtured, implemented, and managed.

Providing guidance, assistance, and management for the planning, funding, development, implementation, and operation of innovative collaborative systems, projects, and programs in its domains of activities.

Providing and clearly communicating balanced, non-partisan, research-based information on service needs and program effectiveness to our constituencies.

Providing information, technical assistance, and interdisciplinary and management services to collaborative projects pertaining to university-community partnerships; collaborative demonstration service and policy projects; strategic planning and systems analysis; program monitoring, evaluation, and needs assessments; interdisciplinary and applied scholarship, education, and training; and other activities that promote the welfare of children, youth, families and the communities in which they live.

Disseminating research and professional information about children, youth, and families through publications, presentations, the popular media, and having personal contact with those individuals who can use this information, including academics, service professionals, policy makers, parents, and citizens.

Exemplifying a university-community partnership and exploring, demonstrating, and communicating to other universities and communities how such a venture can be beneficial to all partners.

- **Operation and/or Inventory Profile**

Principles of Operation

We work in collaboration with organizations or members of the community in a partnership manner. We partner with them on mutually beneficial projects funded by external agencies. Our partners share the rights, responsibilities, and credit as we select a topic, plan and implement a project, operate it, and report its results.

We construct interdisciplinary groups to work in and with. We support educational, scholarly, service, evaluation, and policy projects on any topic pertaining to children, youth, and families. We do not focus exclusively on one or two problems, issues, or content themes.

We facilitate, coordinate, and help others meet their goals and objectives. As a result, we do not necessarily play a lead or continuing role in projects. While we do operate numerous projects when collaborators request that we play a continuing role, we also enhance capacity in other organizations and individuals so that they, not OCD, can operate the project. We plan an appropriate role consistent with a project's mission and principles, regardless of whether the project's funding comes to OCD or to another organization. We spin off or transfer projects when they no longer need us or do not fit our project criteria.

Inventory Profile

Our office does not maintain an inventory.

- **An active supplier/subcontractor diversity policy**

See the attached University policy

- **Explanation of why M/W/DBE participation waiver is being requested**

The consulting services being provided by the Office of Child Development do not involve using any supplies or external services. The services will be provided by existing faculty or staff members.

COUNTY OF ALLEGHENY

M/W/DBE PARTICIPATION STATEMENT

Failure to complete this form and submit it with your contract may cause delays in processing

SOLICITATION AND COMMITMENT


MINORITY, WOMEN AND DISADVANTAGED BUSINESS ENTERPRISES

FISCAL YEAR/PERIOD	NAME OF PROVIDER	ADDRESS	PHONE NUMBER
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List below ALL M/W/DBE's that were solicited – whether or not commitment was obtained – Copy this form as necessary

MBE <input type="checkbox"/> WBE <input type="checkbox"/> DBE <input type="checkbox"/> CERTIFIED BY:	TYPES OF SUBCONTRACT WORK OR MATERIALS	DATE SOLICITED	COMMITMENT MADE <input type="checkbox"/> YES <input type="checkbox"/> NO (IF YES GIVE DATE) MO DAY Y R	GIVE REASON(S) IF NO COMMITMENT MADE
COMPANY NAME		SOLICITATION METHOD	AMOUNT COMMITTED \$	
ADDRESS			% OF TOTAL BID	
CONTACT PERSON/PHONE				
EMAIL			QUOTE RECEIVED <input type="checkbox"/> YES <input type="checkbox"/> NO	
MBE <input type="checkbox"/> WBE <input type="checkbox"/> DBE <input type="checkbox"/> CERTIFIED BY:	TYPES OF SUBCONTRACT WORK OR MATERIALS	DATE SOLICITED	COMMITMENT MADE <input type="checkbox"/> YES <input type="checkbox"/> NO (IF YES GIVE DATE) MO DAY Y R	GIVE REASON(S) IF NO COMMITMENT MADE
COMPANY NAME		SOLICITATION METHOD	AMOUNT COMMITTED \$	
ADDRESS			% OF TOTAL BID	
CONTACT PERSON/PHONE				
EMAIL			QUOTE RECEIVED <input type="checkbox"/> YES <input type="checkbox"/> NO	
MBE <input type="checkbox"/> WBE <input type="checkbox"/> DBE <input type="checkbox"/> CERTIFIED BY:	TYPES OF SUBCONTRACT WORK OR MATERIALS	DATE SOLICITED	COMMITMENT MADE <input type="checkbox"/> YES <input type="checkbox"/> NO (IF YES GIVE DATE) MO DAY Y R	GIVE REASON(S) IF NO COMMITMENT MADE
COMPANY NAME		SOLICITATION METHOD	AMOUNT COMMITTED \$	
ADDRESS			% OF TOTAL BID	
CONTACT PERSON/PHONE				
EMAIL			QUOTE RECEIVED <input type="checkbox"/> YES <input type="checkbox"/> NO	

Prepared By:


 Title: Associate Director for Grant Operations

Signature:

Request for Taxpayer Identification Number and Certification

Give Form to the
requester. Do not
send to the IRS.

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return) UNIVERSITY OF PITTSBURGH- OF THE COMMONWEALTH SYSTEM OF HIGHER EDUCATION	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input checked="" type="checkbox"/> Other (see instructions) ▶ NON-PROFIT CORPORATION	Exemptions (see instructions): Exempt payee code (if any) <u>1</u> Exemption from FATCA reporting code (if any) _____
	Address (number, street, and apt. or suite no.) 116 ATWOOD STREET, SUITE 201 City, state, and ZIP code PITTSBURGH, PA 15260	Requester's name and address (optional)
	List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number	
<div></div>	<div></div>
Employer identification number	
<div></div>	<div></div>

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- I am a U.S. citizen or other U.S. person (defined below), and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign
Here

Signature of
U.S. person ▶

James K. Visser

Date ▶

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. The IRS has created a page on IRS.gov for information about Form W-9, at www.irs.gov/w9. Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, payments made to you in settlement of payment card and third party network transactions, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

- Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify that you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the

withholding tax on foreign partners' share of effectively connected income, and

- Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

Allegheny County

Vendor Creation Form

Controller's use only:

Supplier No. _____

1099 Eligibility: ☐ Yes ☐ No

☐ Add ☐ Change Supplier No. _____

Company Information:

Federal Tax ID (TIN)

University of Pittsburgh



Company Name (Please type or print)

Original W-9 must be attached

Required information
Type of Service Provided

- | | |
|--|-------------------------------------|
| <input checked="" type="checkbox"/> Independent Contractor | <input type="checkbox"/> Rent |
| <input type="checkbox"/> Maintenance/Service Agreement | <input type="checkbox"/> Care Giver |
| <input type="checkbox"/> Insurance | <input type="checkbox"/> Legal |
| <input type="checkbox"/> Personal Reimbursement | <input type="checkbox"/> Medical |
| <input type="checkbox"/> Other (please list) | |

Type of Commodity Provided

(please describe below)

Required Information

Minority Or Women Owned

☐ Yes ☒ No

If yes select ethnicity and gender of the vendor below:

- | | |
|--------------------------|-----------------------------|
| <input type="checkbox"/> | Asian Pacific American |
| <input type="checkbox"/> | Black American |
| <input type="checkbox"/> | Hispanic American |
| <input type="checkbox"/> | Native American |
| <input type="checkbox"/> | Subcontinent Asian American |
| <input type="checkbox"/> | Non-Minority Woman |
| <input type="checkbox"/> | Other |

If Yes ☐ Male ☐ Female

Certified By: ☐ PAUCP ☐ PADGS ☐ Non PA Certification

(attach copy of certification)

Non-Profits including Faith Based Organizations

- ☐ Faith Based Non-Minority
- ☐ Faith Based Minority
- ☐ African American Non-Profit
- ☒ Other Non-Profit

Outreach Manager Interface ☐ Yes ☒ No

Industry Classification by NAICS CodePrimary Industry 611310

Secondary Industry (if applicable) _____

*If code is not known go to <http://www.census.gov/epcd/naics02/naicod02.htm> and select the correct code.

Required Information

Supplier/Remit To Information (Search Type "V") – (Where check will be mailed for payment. Check must be made payable to exact name listed under TIN provided or check cannot be processed.)

Please print or type

Supplier/Payee Name	University of Pittsburgh		
Address Line 1	P.O. Box 371220		
Address Line 2			
Address Line 3			
City	Pittsburgh	State	PA
ZIP Code	15251-7220		
Telephone Number	4126246048		
Fax Number	4126245725		

*If the "remit to" information provided on form does not match invoices submitted for payment, the Controller's Office MUST contact supplier to verify address information before payments are processed. Thank you for your cooperation.

If the Allegheny County Department with which you do business is known, providing the information below will help in the processing of your payments. **Failure to include the information may result in processing delays.**

Allegheny County**Departmental Contact**

Name	_____
Telephone No.	_____
Fax No.	412-350-3414
E-Mail Address:	@AlleghenyCounty.us

Supplier/Payee Contact Name

Name	Jennifer Edwards
Telephone No.	4126246048
Fax No.	4126245725
Email Address:	jedwards@cfo.pitt

BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors in the order listed on Form Page 2.
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME McCall, Robert B.	POSITION TITLE Co-Director, University of Pittsburgh, Office of Child Development Professor of Psychology
eRA COMMONS USER NAME (credential, e.g., agency login) MCCALL2	

EDUCATION/TRAINING *(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)*

INSTITUTION AND LOCATION	DEGREE <i>(if applicable)</i>	MM/YY	FIELD OF STUDY
DePauw University, Greencastle, Indiana	B.A.	06/62	Major: Psychology. Minor: Mathematics, Philosophy, Language
University of Illinois, Urbana, Illinois	M.A.	06/64	Major: Psychology
University of Illinois, Urbana, Illinois	Ph.D.	06/65	Major: General Experimental Psychology. Minors: Mathematics, Psychological Measurement
Harvard University, Cambridge, MA	Post-Doc	06/65-66	Jerome Kagan, mentor

Please refer to the application instructions in order to complete sections A, B, C, and D of the Biographical Sketch.

A. Personal Statement. Co-Director (with Groark) of the University of Pittsburgh Office of Child Development and Professor of Psychology, will provide technical assistance and oversight to the research design and statistical analysis as well as prepare manuscripts for publication (10% FTE). McCall has authored eight editions of a basic statistics text and written numerous handbook and book chapters and articles on applied research and analysis.

B. Positions and Honors

1986-present: Professor of Psychology; Co-Director, University of Pittsburgh Office of Child Development (inaugural Director, 1986-1993)

1985-1986: Executive Assistant to the Director for Program Planning and Evaluation, Father Flanagan's Boys' Home, Boys Town, Nebraska

1977-1986: Senior Scientist and Science Writer, Father Flanagan's Boys' Home, Boys Town, NE

1977-1986: Adjunct Professor, Graduate Faculty, Department of Human Development and Family Life, University of Kansas, Lawrence, Kansas

1978-1986: Graduate Faculty Fellow, Department of Psychology, University of Nebraska-Omaha, Omaha, Nebraska

1968-1977: Senior Scientist and Chief, Perceptual-Cognitive Development Section, Fels Research Institute, Yellow Springs, Ohio (Chairman, Department of Psychology, 1968-1971; departmental organization replaced by sections)

1968-1977: Associate Professor of Psychology, Antioch College, Yellow Springs, Ohio

1966-1968: Assistant Professor of Psychology, University of North Carolina, Chapel Hill, North Carolina; Research Associate, Institute for Research in Social Science

1965-1966: NSF Postdoctoral Fellow, Center for Research in Personality, Department of Social Relations, Harvard University, Cambridge, Massachusetts (Prof. Jerome Kagan, sponsor)

1965: Summer Visiting Lecturer, Department of Educational Psychology, University of Illinois, Urbana, Illinois

1964-1965: NIH Predoctoral Fellow, Department of Psychology, University of Illinois, Urbana, Illinois

1963-1964: Teaching Assistant, Department of Psychology, University of Illinois, Urbana, Illinois

1962-1963: USPHS Trainee in Measurement, Department of Psychology, University of Illinois, Urbana, Illinois

Honors

Phi Beta Kappa, Sigma Xi

Citation Classic (1985) for McCall and Appelbaum (1973), most frequently cited article published in *Child Development* from 1973 to 1985.

Awards

American Psychological Association (1981), American Academy of Pediatrics (1981), National Council on Family Relations (1983) for television productions.

Distinguished contribution to public service, American Psychological Association (1994), for various public information activities and for directing the University of Pittsburgh Office of Child Development that promotes university-community partnerships.

University of Pittsburgh Chancellor's Distinguished Public Service Award, 1998.

University of Pittsburgh Chancellor's Distinguished Research Award, 1998.

Distinguished Contribution to Public Policy for Children, Society for Research in Child Development, 2003.

C. Selected Peer-Reviewed Publications (Selected from more than 250 peer-reviewed publications)

McCall, R. B. (1970). *Fundamental statistics for psychology*. New York: Harcourt Brace Jovanovich. Second edition, 1975; Third edition, 1980; retitled, *Fundamental statistics for behavioral sciences*, Fourth edition, 1986; Fifth edition, 1990; Sixth edition, 1994; transferred to Wadsworth/Brooks Cole, Thompson Learning Corp., Seventh edition, 1997; Eighth edition, 2001.

The St. Petersburg-USA Orphanage Research Team (2008). The effects of early social-emotional-relationship experience on the development of young orphanage children. *Monographs of the Society for Research in Child Development*, 73, Serial No. 291(3).

McCall, R. B., van IJzendoorn, M. H., Juffer, F., Groark, C. J., & Groza, V. K. (Eds.) (2011). Children without permanent parents: Research, practice, and policy. *Monographs of the Society for Research in Child Development*, Serial No. 301, 76(4), 223-272.

McCall, R. B., Ryan, C. S., & Plemons, B. W. (2003). Some lessons learned on evaluating community-based, two-generation service programs: The case of the Comprehensive Child Development Program (CCDP). *Journal of Applied Developmental Psychology*, 24, 125-141.

Ryan, C. S., McCall, R. B., Robinson, D. R., Groark, C. J., Mulvey, L., & Plemons, B. W. (2002). Benefits of the Comprehensive Child Development Program (CCDP) as a function of AFDC receipt and SES. *Child Development*, 73, 315-328.

McCall, R. B., Larsen, L., & Ingram, A. (2003). The science and policies of early childhood education and family services. In A. J. Reynolds, M. C. Wang, and H. J. Walberg (Eds.), *Early childhood programs for a new century: Issues in children's and families lives* (pp. 255-298). The University of Illinois at Chicago Series on Children and Youth. Washington, DC: CWLA Press.

McCall, R. B., & Green, B. L. (2004). Beyond the methodological gold standards of behavioral research: Considerations for practice and policy. *SRCD Social Policy Report*, 18(2), 3-19.

Groark, C. J., & McCall, R. B. (2005). Integrating developmental scholarship into practice and policy. In M. H. Bornstein and M.E. Lamb (Eds.), *Developmental psychology: An advanced textbook*, 5th Edition (pp. 570-601). Mahwah, NJ: Lawrence Erlbaum Associates.

McCall, R. B. (2009). Evidence-based programming in the context of practice and policy. *SRCD Social Policy Report*, 18(3), 3-18.

McCall, R. B., Groark, C. J., & Fish, L. (2010). A Caregiver-Child Social/Emotional and Relationship Rating Scale (CCSERRS). *Infant Mental Health Journal*, 31(2), 201-219.

McCall, R. B., & Groark, C. J. (2010). Challenges and issues in designing applied research. In V. Maholmes and C. Lomonaco (Eds.), *Applied research in child and adolescent development: A practical guide* (pp. 101-129). New York, NY: Psychology Press.

Merz, E. C., & McCall, R. B. (2011). Parent ratings of executive functioning behavior in children adopted from psychosocially depriving institutions. *Journal of Child Psychology and Psychiatry*, 52(5), 537-546.

- McCall, R. B., Fish, L. A., Groark, C. J., Muhamedrahimov, R. J., Palmov, O. I., & Nikiforova, N. V. (2012). The role of transitions to new age groups in the development of institutionalized children. *Infant Mental Health Journal*, 33(4), 421-429.
- Merz, E. C., McCall, R. B., & Groza, V. (in press). Parent-reported executive functioning in post-institutionalized children: A follow-up study. *Journal of Clinical Child and Adolescent Psychology*.

Joan C. Eichner

Education	University of Pittsburgh DrPH: Behavioral and Community Health Sciences Graduate School of Public Health Pittsburgh, PA	August 2012-present
	University of Pittsburgh MPH: Behavioral and Community Health Sciences Graduate School of Public Health Pittsburgh, PA	April 2009
	University of Pittsburgh MPA: Public and Nonprofit Administration Graduate School of Public and International Affairs Pittsburgh, PA	April 2009
	Colorado College Bachelor of Arts: English/Creative Writing Minor in Anthropology Colorado Springs, Colorado	May 2003
Professional	Director, Division of Applied Research and Evaluation Pittsburgh, PA University of Pittsburgh Office of Child Development Division of Applied Research and Evaluation Responsible for grant management, research and evaluation design and implementation, developing relationships with partners and funders, budgeting and resource management for the Division, and overseeing a team of applied researchers and graduate students.	October 2013-present
	Children's Policy Director Pittsburgh, PA University of Pittsburgh Office of Child Development Division of Policy Initiatives Responsible for program design, management, and evaluation That translates research evidence and policy to practice. Grant-writing and management. Supervision of multidisciplinary teams. Develop and maintain relationships with university and community partners.	May 2009-October 2013
	Graduate Student Researcher Pittsburgh, PA University of Pittsburgh Office of Child Development Executive Administration and Policy Initiatives Developed and implemented a qualitative research project using Photovoice on positive teen body image. Conducted stakeholder interviews and an environmental scan leading to the development of the office's strategic plan. Co-Chaired an Early Childhood Mental Health Action Committee.	August 2008-April 2009

Supported the Co-Director with research, grant writing, project development, and communications.

Program Assistant

March 2007-Dec. 2009

Pittsburgh, PA

Bethlehem Haven, SOAR Program

Facilitated daily operations of a permanent supportive housing program for chronically homeless women with severe and persistent mental and behavioral health challenges. Created and led weekly group activities including life-skills, community meetings, and social groups with 16 residents

Behavioral Health Intern

Sept. 2007- June 2008

Pittsburgh, PA

Magee Womancare International

Magee Womens Research Institute, Magee Womens Hospital

Designed and implemented a ten-day professional exchange program for visiting Russian social workers and psychologists studying domestic violence prevention and treatment approaches.

Wrote successful grant proposals for local and international women's health and MCH projects.

Maternal and Child Health Concentration Course Coordinator

May-June 2008

Pittsburgh, PA

Governor's School for Health Care

Designed a maternal and child health course curriculum with professional lecturers and site visits for 30 gifted high school students during an intensive five-week summer program.

Community Education Promoter

June 2004-July 2006

United States Peace Corps

Guyana, South America

Developed and led a PEPFAR funded intensive HIV/AIDS prevention and, life skills afterschool program for vulnerable youth. Collaborated with the UNFPA, Ministry of Health, and local nonprofits to launch Guyana's pilot *Youth-Friendly Space*. Established a chapter of the National Youth Health Club; planned and co-taught weekly health education sessions and led corresponding community activities for two years. Taught literacy, life skills, and physical education. Provided group and individual MCH and reproductive health education at local ante-natal clinic.

Research

Lead Evaluator

2010-present

Effectiveness of the "17 Days" Video Intervention in Increasing Safe-Sex Behaviors

Federally funded, Office of Adolescent Health grant (subaward)

Evaluation Supervisor

LAUNCH

Lead Evaluator

2014-present

Strengthening the Bhutanese Community in Pittsburgh

Federally funded, Office of Refugee Resettlement (subaward)

Project Manager

2012-2014

Integrating Quality Early Childhood Supports into Homeless Housing

The Heinz Endowments

	Evaluator Social-Emotional Intervention on Caregivers and Children in Five Central American Institutions InterAmerican Development Bank (subaward)	2010-2012
Qualifications	Certified Health Education Specialist National Commission for Health Education Credentialing	2009-2014
Awards	The National Honor Society in Public Health award for department's best Master's thesis entitled <i>Early Childhood Mental Health: A Public Health Approach</i>	2009
	The Evelyn Bridges Poetry Award for undergraduate creative writing thesis	2003
Memberships	Board Secretary	2013-present
	Board member Milestone Centers, Inc.	2009-present
	Pi Alpha Alpha Public Administration National Honor Society	2009-present
	Consumer Health Coalition	2009-2010
Publications		
Peer Reviewed	Groark, C.J., McCall, R.B., McCarthy, S.K., Eichner, J.C. , Gee, A.D. (2013). <i>Structure, Caregiver-Child Interactions, and Children's General Physical and Behavioral Development in Three Central American Institutions</i> . International Perspectives in Psychology: Research, Practice, Consultation, 2 (3): 207-224.	
	Groark, C.J., McCall, R.B., McCarthy, S.K., Eichner, J.C. , Salaway, J., & Palmer, K. (2013). The effects of a social-emotional intervention on caregivers and children with disabilities in two Central American institutions. <i>Infants & Young Children</i> , 26(4), 286-305.	
	Eichner, J.C. , Groark, C., and Palmov, O. (2011) Early Intervention: International Policies and Programs. In C. Groark and L. Eidelman (Eds.) <i>Early Childhood Intervention: Shaping the Future For Children With Special Needs and Their Families. Volume One: Contemporary Policy and Practice Landscape</i> . (37-71). Santa Barbara: Praeger.	
Presentations	Eichner, J. "Seventeen Days: A web-based intervention to promote safer sexual behaviors." For the Society for Public Health Education Annual Meeting, Baltimore, MD, March, 21, 2014.	
	Groark, C., Eichner, J. "Financially Struggling Adults and Families" For the United Way of Allegheny County Advisory Committee, Pittsburgh, PA, March 5, 2014.	
	Eichner, J. "Breaking the Cycle of Adversity and Toxic Stress in Early Childhood: How can we protect and support young children?" For the Institute for Children, Poverty, and Homelessness conference <i>Beyond Housing</i> , in New York, NY, January 17, 2014.	
	Eichner, J. "The Experiences of Young Children who are Homeless." For the Pittsburgh Association for the Education of Young Children (PAEYC) and University of Pittsburgh School of Education, Applied Developmental Psychology Department Symposium, in Pittsburgh, PA, April 8, 2013.	
	Eichner, J. and Groark, C. "Trauma and Homelessness in Childhood." For the Education of Children and Youth Experiencing Homeless Program regional meeting in Hidden Valley, PA, December 6, 2012.	

Eichner, J. and Hubley, N. "Bridging Systems to Enhance Social-Emotional Development and Resilience in Young Children Experiencing Homelessness." For the National Association for the Education of Homeless Children and Youth 23rd Annual Conference, in Pittsburgh, PA, November 6, 2011.

Eichner, J. and Hubley, N. "Bridging Early Childhood Opportunities for Homeless Children – Law and Practice" For the Pennsylvania Office of Child Development and Early Learning Symposium, A Brighter Tomorrow: Cultivating Infants' and Toddlers' Social-Emotional Development, in Altoona, PA, July 21, 2011.

Groark, C., Eichner, J. and McCarthy, S. "Building Collaborations between Program, Evaluation, and Policy for the Purpose of Creating Evidence-Based Programs in Communities." For the Institute for Children and Poverty conference: Children, Poverty, and Homelessness: from research to policy, from policy to practice, in Philadelphia, PA, January 21, 2010.

BIOGRAPHICAL SKETCH

Provide the following information for the Senior/key personnel and other significant contributors.
Follow this format for each person. **DO NOT EXCEED FOUR PAGES.**

NAME Smith-Jones, Janell	POSITION TITLE Evaluation and Research Manager		
eRA COMMONS USER NAME (credential, e.g., agency login) jsmith			
EDUCATION/TRAINING <i>(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)</i>			
INSTITUTION AND LOCATION	DEGREE <i>(if applicable)</i>	MM/YY	FIELD OF STUDY
Fairleigh Dickinson University	B.A.	02/78	Psychology
University of Pittsburgh	M.A.	5/86	Developmental Psychology
University of Pittsburgh	Ph.D.	5/92	Developmental Psychology

Please refer to the application instructions in order to complete sections A, B, C, and D of the Biographical Sketch.

A. Personal Statement

Smith-Jones' responsibility as Project Manager is to coordinate and supervise all aspects of the intervention, including development, training, and implementation activities. Involved in community-based research for the past 20 years, Smith-Jones was co-investigator and quality assurance manager for a county-wide program providing coordinated, community-based mental health supports for young children and their families; evaluator for a pilot project providing mental health consultation to childcare programs across Pennsylvania; and co-developer and evaluator of training and communication materials designed to support the delivery of quality developmental and behavioral screening and referral services. In addition, she has coordinated numerous evaluations including a five year initiative focused on developing quality childcare programs in at-risk communities, literacy and numeracy interventions for children in Early Head Start programs, and community-based mentoring of children with an incarcerated parent. Her primary focus is on services for children and families in high-risk communities and her activities include the development and delivery of trainings and related materials and project oversight, coordination, and evaluation. In her current position as Evaluation and Research Manager and involvement in local community affairs, she is keenly aware of the importance of communication, training and support, quality monitoring, and stakeholder investment. Her skills and experience are relevant to the proposed project and build upon her interest and expertise.

B. Positions and Honors

Positions and Employment

1987-1989	Research Coordinator, Child Development Unit, Children's Hospital of Pittsburgh, Pittsburgh, PA
1996-1997	Psychologist in training, Child Development Unit, Children's Hospital of Pittsburgh, Pittsburgh, PA
1997-2001	Research Coordinator, Early Childhood Partnerships, Children's Hospital of Pittsburgh, Pittsburgh, PA
2001-2006	Developmental Psychologist, Early Childhood Partnerships, Children's Hospital of Pittsburgh, Pittsburgh, PA
2006-	Evaluation & Research Manager, Office of Child Development, University of Pittsburgh, Pittsburgh, PA

Other Experience and Professional Memberships

2005-	Member, American Psychological Association
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2008-11	Board of Directors, Neighborhood Learning Alliance
2007-08	Society for Research in Child Development
2005-06	Member, Governor's Task Force: Developing Infant-Toddler Early Learning Standards for the State of Pennsylvania
1995-1997	Board of Directors, National Center for Juvenile Justice

Honors

C. Selected Peer-reviewed Publications

1. Bagnato, S.J., Suen, H.K., Brickley, D. & Smith-Jones, J., and Dettore, E. (2002) Child developmental impact of Pittsburgh's Early Childhood Initiative (ECI) in high-risk communities: First-phase authentic evaluation research. *Early Childhood Research Quarterly*, 17 (4), 559-580.

D. Research Support

Ongoing Research Support

Bright Spaces for Young Children 10/2013
The goal of this project is to improve early childhood resources and parenting supports in housing facilities for families experiencing homelessness.
Role: Evaluator

Carnegie Mellon University 9/2011
Reduction of high-risk sexual behaviors in teens
The goal of this project is to reduce high risk sexual behaviors in teens through an interactive video intervention.
Role: Evaluator

Consortium for Public Education 5/2011
Promotion of college and career readiness
The goal of this project is to promote college and career readiness in middle and high school students through personalized educational strategies.
Role: Evaluator

Completed Research Support

Frank and Teresa Caplan Fund Grant, University of Pittsburgh 8/2010-8/2011
Developmental and behavioral screenings for young children
The goals of this project were to identify barriers to accessing services when screenings reveal concerns and develop training and support materials for community-based staff and their families.
Role: Evaluator/Developer

PNC Grow Up Great Grant 12/2006-5/2007
Numeracy enrichment
The goal of this project was to evaluate the impact of numeracy enrichment experiences in young children.
Role: Evaluator

The Substance Abuse and Mental Health Services Administration (SAMHSA) Grant 10/2006-3/2010
Starting Early Together (SET) Program, Allegheny County Department of Health and Human Services
Mental health and support services for young children and their families

The goal of this project was to evaluate the provision of mental health and support services for young children with behavioral and emotional needs and their families.

Role: Co-investigator, Quality Assurance Manager

PNC Grow Up Great Grant

8/2006-5/2007

Language enrichment

The goal of this project was to evaluate the impact of language enrichment experiences in young children.

Role: Evaluator

Office of Child Development and Early Learning, PA Dept. of Education

6/2006-6/2008

Early childhood mental health consultation

This goal of this pilot project was to evaluate the impact of a mental health consultation model and identify strategies and key information to guide planning and service delivery.

Role: Evaluator

U.S. Department of Education, Office of Special Education Programs Grant

3/2004-5/2006

Tracking, referral, and assessment services

The goal of this project was to identify and promote evidenced based practices and models for improving child find, referral, early identification, and eligibility determination for young children.

Role: Research specialist

Heinz Endowments Grant

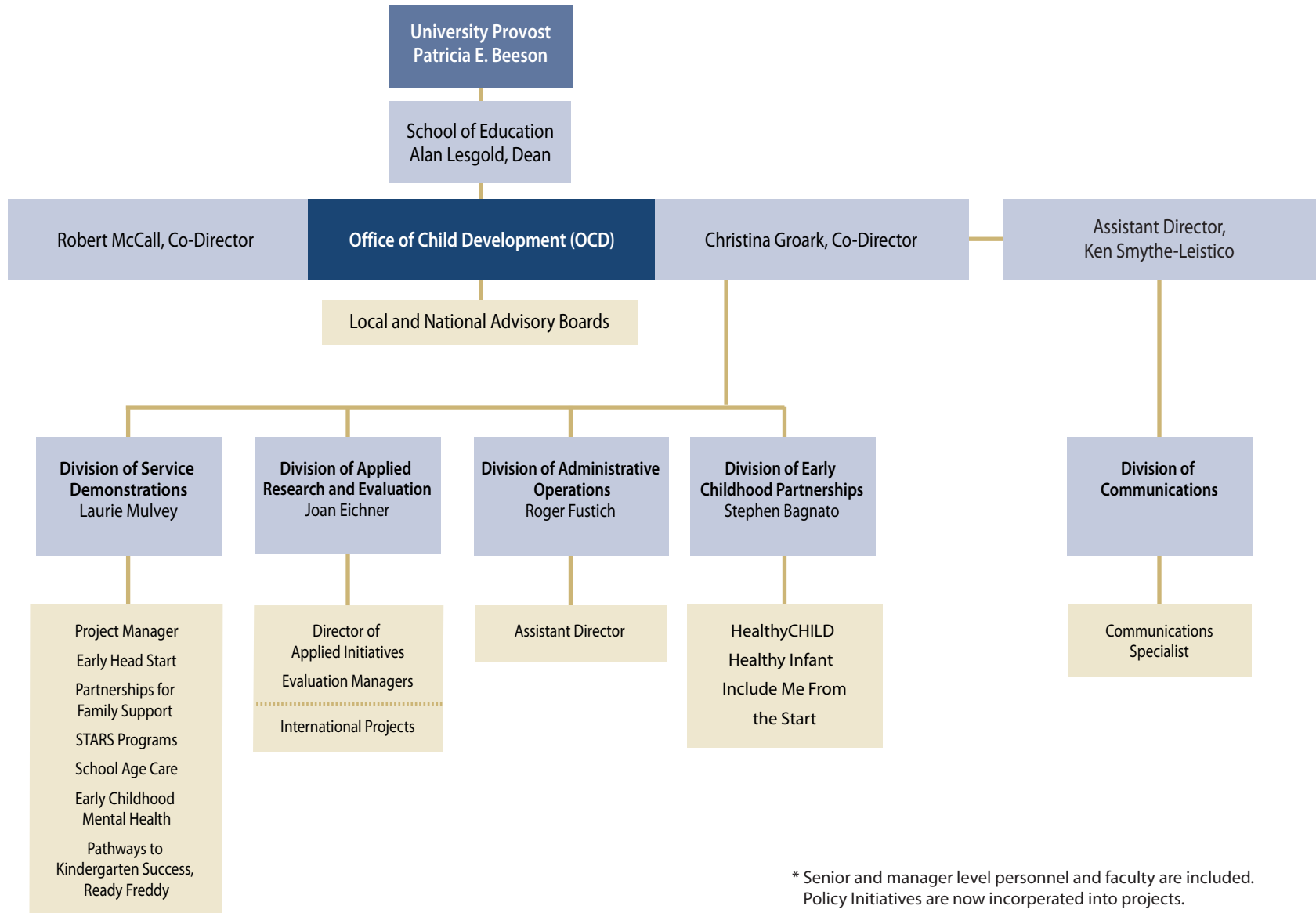
9/1997-7/2002

Quality early care and education programming

The goal of this project was to evaluate the provision of high quality early care and education services to children in low-income communities.

Role: Evaluator/Child and School Outcomes

Office of Child Development Organizational Chart*



* Senior and manager level personnel and faculty are included.
Policy Initiatives are now incorporated into projects.